

# ***Lead Hazard Control Programs Application***

Lead-Based Paint Hazard Control  
Lead Research  
Healthy Homes Initiative



**2000**

U.S. Department of Housing and Urban Development  
Andrew Cuomo, Secretary



Lead-Based Paint Hazard Control  
Healthy Homes Initiative  
Lead Hazard Control Research

OMB Approval No. 2539-0015 (exp 9/02)  
OMB Approval No. 2539-0015 (exp 9/02)  
OMB Approval No. 2539-0010 (pending)

The information collection requirements contained in this notice of funding availability and application kit will be used to rate applications, determine eligibility, and establish grant amounts.

Selection of applications for funding under the three Lead Hazard Control Programs are based on the rating factors listed in the HUD SuperNOFA for 2000.

For the Lead-Based Paint Hazard Control and Healthy Homes Initiative grant programs, the public reporting burden for this collection of information is estimated to average 100 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions to reducing this burden, to the Reports Management Officer, Paperwork Reduction Project 2539-0015, Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, DC 20410-3600.

For the Lead Hazard Control Research program, the public reporting burden for this collection of information is estimated to average 107 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions to reducing this burden, to the Reports Management Officer, Paperwork Reduction Project 2539-0005, Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, DC 20410-3600.

Do not send this form to the above address.

The agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

The information submitted in response to these Notices of Funding Availability for Lead Hazard Control Grant Programs is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 ( Pub.L. 101-235, approved December 15, 1989, 42 U.S.C. 3545).

**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802).



U. S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT  
WASHINGTON, D.C. 20410-0001

THE SECRETARY

February 24, 2000

Dear Friend:

For the third year, we are pleased to issue a Super Notice Of Funding Availability (SuperNOFA) for HUD's competitive grant programs. Our SuperNOFA approach simplifies the application process, brings consistency and uniformity to the selection process, and enables you to identify a wider variety of HUD programs that can help your community.

The SuperNOFA – a single notice announcing funding for 39 HUD grant programs and program components – gives you a “menu” of those programs and allows you to choose those which can best meet your local needs. By announcing the vast majority of funding opportunities in one document, it also is intended to encourage you to work with other local and regional applicants to better coordinate activities to meet local objectives. HUD's SuperNOFA can help you create a comprehensive and seamless approach to issues and opportunities in your community and throughout your region – and this year we also are announcing the availability of Section 8 Housing Voucher Assistance for the elderly and persons with disabilities.

This has been an outstanding year for the Department. Fiscal Year 2000's budget is the best in a decade, with increased funding for virtually every program. Our programs offer opportunity and security for those who are often left behind – including 60,000 new vouchers for citizens in our most distressed communities, the elderly, and homeless individuals and families. For FY 2001, President Clinton has proposed a \$6 billion increase in HUD's budget, to \$32.1 billion – the strongest HUD budget in more than 20 years, with increases in every program area.

We look forward to working with you to help you create communities of opportunity: with housing, economic development, citizen-empowerment and self-sufficiency for all.

Sincerely,

A handwritten signature in dark ink, which appears to read "Andrew Cuomo", is written over a light blue horizontal line.

Andrew Cuomo

This publication contains the Application Kits and Notices of Funding Availability for three grant programs administered by the HUD Office of Lead Hazard Control. They are:

***Lead-Based Paint Hazard Control.*** The purpose of the Lead-Based Paint Hazard Control Grant program is to reduce the exposure of young children to lead-based paint hazards in their homes. This program provides funding to States, Native American tribal, and local governments to evaluate and reduce lead-based paint hazards in private housing rented or owned by low-income families.

The Lead-Based Paint Hazard Control Grant Program application kit begins on page 1.

***Lead Hazard Control Research.*** The purpose of this program is to fund research to improve the efficacy and cost-effectiveness of methods for lead-based paint hazard evaluation and control. This program provides funding to States, local governments, academic, not-for-profit, and for-profit organizations.

The Lead Hazard Research Grant Program application kit begins on page 73.

***Healthy Homes.*** The Healthy Homes Initiative builds upon the Department's existing activities on housing-related health and safety issues, including lead hazard control, building structural safety, electrical safety, and fire protection, to address multiple childhood diseases and injuries related to housing in a more coordinated fashion. The program provides funding for projects which demonstrate effective assessment and intervention methods as well as for research, public education, and outreach efforts.

The Healthy Homes Initiative Grant Program application kit begins on page 109.

A single copy of the General Section of the SuperNOFA is provided in the Forms Section of this book. The General Section applies to all three grant programs in this publication. Included with the General Section are a HUD Field Offices list and an EZ/EC Main Contact list.

In addition, forms specifically required by a specific program are provided in the Kits. Forms common to all three programs are provided in the Forms Section of this publication.

The Common Forms and SuperNOFA General section begins on page 149.



# **Research To Improve The Evaluation And Control Of Residential Lead-Based Paint Hazards**

## **Application Kit**

### **Fiscal Year 2000**

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**U. S. Department of Housing and Urban Development**  
Washington, D.C. 20410

**Office of Lead Hazard Control**

**APPLICATION KIT FOR THE FY2000 RESEARCH TO IMPROVE THE EVALUATION AND  
CONTROL OF RESIDENTIAL LEAD-BASED PAINT HAZARDS**

Dear Applicant:

Thank you for requesting an Application Kit for grants for "Research to Improve the Evaluation and Control of Residential Lead-Based Paint Hazards" from the Department of Housing and Urban Development. HUD intends to award grants and/or cooperative agreements to support research projects that address the topic areas described in section III(C)(2) of this Notice of Funding Availability (NOFA). The results of this research will be used to update HUD's *Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing* and to improve lead-based paint activities across the country.

Approximately \$1.5 million in Residential Lead Hazard Control Research grants will be available to fund selected research projects. It is expected that approximately 3-5 grants or cooperative agreements of approximately \$200,000 to \$600,000 each will be awarded to selected applicants. The applications are due on May 17, 2000.

This year we have reserved a minimum of 20% of the available funds for applicants not previously funded under this research grant program, provided the applicant receives at least 65 points on the rating factors. If you are a previously unfunded applicant, please so state in your cover letter.

The application kit contains detailed instructions for each component of the application submission. The necessary forms and instructions are included in Annex 1 of this application kit and in the "Forms section" of this document. In particular, please be sure to complete the Checklist in Annex 1 to ensure you have met all the requirements for a complete application. You may address more than one of the research topic areas in your proposals. HUD will also consider funding applications for research on topics which, although not specifically listed in section III(C)(2) of the program NOFA, are consistent with the overall goals and objectives of the NOFA. Before you begin preparing your application, please read the entire application kit and NOFA to become knowledgeable about the process and to ensure that your proposed research project meets the program objectives and is eligible for assistance.

In accordance with the Reform Act of 1989, HUD cannot provide any information on the relative standing of any application. However, prior to submission, you may ask questions about the NOFA or application kit. Questions should be directed to Mr. Eugene A. Pinzer, CIH, at (202) 755-1785, ext. 120. This is not a toll-free number. Please note that proposals submitted in response to this NOFA are subject to disclosure under the Freedom of Information Act (FOIA).

We applaud your interest in identifying innovative ways to make homes safe for our nation's children. Good luck!

Sincerely,

David E. Jacobs, Ph.D.  
Director



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## TABLE OF CONTENTS

### SECTION 1. General Instructions and Guidelines for Applicants

#### Background and General Instructions for Submitting Applications

Purpose.....	79
Legislative Authority.....	79
Eligible Research Topics.....	79
Eligible Applicants.....	79
Allocation Amounts.....	79
Completion of Work.....	79
Application Deadline and Submittal.....	79
Final Assembly of an Application Package.....	80
Correction of Minor Technical Deficiencies.....	80
Late Applications, Modifications of Applications, and Withdrawals of Applications.....	80
Guidance on Requirements Issues.....	81
Other Issues.....	81
Further Information.....	81

### SECTION 2. Preparing Your Application

Transmittal Letter.....	83
Project Abstract.....	83
Required Forms.....	83
Response to Rating Factors and Project Description.....	83
Objectives.....	84
Study Design.....	84
Project Management Plan.....	84
Other Project Information.....	84
Biographical Sketches.....	84
Factors for Award and Scoring.....	85
Rating Factors.....	86
Attachments to Rating Factors.....	89

### SECTION 3. Administrative Provisions

Obligation of Funds.....	91
Increases of Awards.....	91
Deobligation.....	91
Reasons for Deobligation.....	91
Treatment of Deobligated Funds.....	91
Reports .....	91
Progress Reports.....	91
Final Report.....	91

### ANNEXES

#### Annex 1. Program-Specific Application Forms

Checklist and Submission Table of Contents.....	A-95
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#### Annex 2. Sample Completed Forms

Total Budget (Federal Share and Matching) (Exhibit A).....	A-99
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Notice of Funding Availability (NOFA).....	107
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## SECTION 1. GENERAL INSTRUCTIONS AND GUIDELINES FOR APPLICANTS

**The Notice of Funding Availability (NOFA) can be found at the back of this application package and should be read before preparing the application.**

### Background and General Instructions for Submitting Applications

1. **Purpose** The purpose of this research grant program is to fund research in key topic areas related to the evaluation and control of residential lead-based paint hazards. Research results will be used to update the *HUD Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing* ("Guidelines"). HUD anticipates that this research will: 1) increase the accuracy and cost-effectiveness of lead hazard evaluation, and 2) increase the efficacy and cost-effectiveness of lead hazard reduction interventions.
  2. **Legislative Authority** This activity is authorized under Sections 1051 and 1052 of The Residential Lead-Based Hazard Reduction Act of 1992 (Public Law 102-550), October 28, 1992.
  3. **Eligible Research Topics** The research topic areas that are eligible for funding include the following (a more thorough discussion of these topics is provided in section III(C)(2) of the attached NOFA):
    - i) Evaluation of Lead Hazard Control Methodologies - Contributions of Exterior Lead Sources to Lead in Interior Dust;
    - ii) Low-Cost Analytical Techniques for the Rapid, On-Site Determination of Lead in Dust; or
    - iii) New or Novel Methods of LBP Hazard Evaluation or Control, or Other Areas of Research that are Consistent with the Overall Goals of this NOFA.
  4. **Eligible Applicants** Academic and not-for-profit institutions located in the U.S., and State and local governments are eligible under all existing authorizations. For-profit firms are eligible; however, they are not allowed to include a fee in the cost proposal (i.e., no profit can be made from the project). Federal agencies and Federal employees are not eligible to participate in this program.
  5. **Allocation Amounts** Approximately \$1.5 million will be available to fund research grants. Grants will be awarded on a competitive basis following evaluation of all proposals according to the criteria described in Section V(B) of the program section of the SuperNOFA. HUD anticipates that individual awards will range from approximately \$200,000 to approximately \$600,000.
- At least 20% of the funds available under this research program section of the SuperNOFA will be made available to applicants who are not current or previous Lead Hazard Control Research grantees. If you are a previously unfunded applicant and wish to be considered for the 20% set-aside, you should state so clearly in your cover letter.
6. **Completion of Work** Applicants are encouraged to plan projects that can be completed in a period of 1 to 2 years.
  7. **Application Deadline and Submission** Please refer to the NOFA, published in the Federal Register and reproduced in Annex 3 of this application kit, for the deadline for the receipt of applications. Applications must be submitted complete, and on-time as required in the NOFA. Facsimiles and electronically transmitted applications are not authorized and are not acceptable. Applications received after the deadline will be ineligible for consideration.

**Submit an original and four copies of your application package to:**

For mailed applications:

U.S. Department of Housing and Urban Development  
Office of Lead Hazard Control, Room P3206  
Attention: Eugene Pinzer  
451 7th Street, SW  
Washington, DC 20410

For overnight/express mail or hand carried applications:

HUD Office of Lead Hazard Control  
490 L'Enfant Plaza, SW, Room 3206  
Attention: Eugene Pinzer  
Washington, DC 20024.

**8. Final Assembly of an Application Package** Annex 1 and the "Forms section" of this document provide all of the forms, certifications, and accompanying instructions necessary to apply for an award. The applicant should assemble the application package in the order shown in the **Checklist and Submission Table of Contents** provided in Annex 1 **number each page sequentially, and denote the appropriate page number on the Checklist sheet** that should be included with the submission.

**The narrative Response to the Rating Factors and Project Description cannot exceed a total of 25 pages** (this does not include the budget or materials in the appendices). Required tables may be included as part of the narrative response (subject to the page limits) or may be provided in the appendices. Appendices are limited to 20 pages total, not including mandatory materials (budget detail and justification, organizational chart, resumes, job descriptions, letters of commitment and memoranda of agreement from participating organizations). Non-mandatory materials submitted in excess of 20 pages will not be reviewed.

To help verify the application is complete, the **Threshold Review checklist** that HUD will use is provided for you in the forms section. We recommend you use it to assemble a complete application.

**9. Correction of Minor Technical Deficiencies** HUD will notify you, in writing by fax and mail, of any minor technical deficiencies in the application. These include items that do not affect scoring, such as a missing certification or a missing signature. Corrections you submit must be received at the HUD Office of Lead Hazard Control within 14 calendar days from the date of HUD's letter notifying you of any technical deficiencies. Failure to respond to the technical deficiencies within the allotted 14 days will result in the application not being considered for funding.

You will only be permitted to correct minor technical deficiencies, as identified by HUD. Deficiencies determined by HUD to be substantive (i.e., deficiencies that could affect an application's score) may not be corrected.

**10. Late Applications, Modifications of Applications, and Withdrawals of Applications**

a. Any application received at the office designated in the solicitation after the exact date and time specified for receipt will not be considered.

b. Hand-delivered applications must be received in the designated office by the application deadline date and time (documentation is the notation on the application wrapper of the time and date received by the designated office).

c. Any modification or correction of an application is subject to the conditions described in this paragraph.

d. Applications may be withdrawn by written notice, facsimile or telegram (including mailgram) received at any time prior to award. Applications may be withdrawn in person by you or your authorized representative, provided their identity is made known and they sign a receipt for the application prior to award.

### **Guidance on Requirements Issues**

Please refer to the General Section found in the Forms Section of this SuperNOFA Application Kit.

### **Other Issues (No Response Required in Application)**

Please refer to the General Section found in the Forms Section of this SuperNOFA Application Kit.

**Further Information** If you have any questions regarding your application or any related matters, you may contact Eugene A. Pinzer, CIH, at (202) 755-1785, ext. 120. (This is not a toll-free number).

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## Section 2. Preparing Your Application

### Transmittal Letter

Prepare a brief letter applying for the grant and signed by the Chief Executive or authorized official. The transmittal letter should indicate the applicant organization and the amount of the grant requested. Include the name and telephone number of the individual to contact for further information pertaining to the application. If you are a previously unfunded applicant and wish to be considered for the set-aside funds, please so state in your transmittal letter.

### Project Abstract

The Project Abstract **(limit of two pages)** should include: the project title, names and affiliations of principal investigators, a statement of objectives, methods to be employed, and the significance of the proposed research to achieving HUD's goals and objectives for a given topic area. Also provide the total estimated cost of the proposed project and the total award that the applicant is requesting from HUD.

### Required Forms

All of the forms that must be completed and submitted as part of an application package are provided in Annex 1 and the "Forms section" of this document. Please read the accompanying directions before completing each form. A checklist is also provided in Annex 1 as an aid to help ensure that you have submitted all of the required items. Annex 2 of this document contains examples of completed budget forms (Total Budget (Federal Share and Matching) and SF-424A). The forms that must be completed and submitted with your application include the following:

- Checklist and Submission Table of Contents
- SF 424 Application for Federal Assistance
- SF 424A Budget Information/Non-Construction Programs
- Total Budget (Federal Share and Matching)
- SF 424B Assurances/Non-Construction Programs
- HUD 2880 Disclosure and Update Report Form
- SF LLL Disclosure of Lobbying Activities
- HUD-50071 Certification of Payments to Influence Federal Transactions
- HUD-50070 Certification for a Drug-Free Workplace
- HUD-2992 Certification Regarding Debarment and Suspension
- HUD-2993 Acknowledgment of Application Receipt

Many of these forms are available in electronic form from the HUD website ([www.hud.gov](http://www.hud.gov)) and the Office of Lead Hazard Control website ([www.hud.gov/lead/leadhome.html](http://www.hud.gov/lead/leadhome.html)).

### Response to Rating Factors and Project Description

The response to rating factors and project description must not exceed 25 pages, including visual materials such as charts and graphs (see section III(C)(2)) of the NOFA for description of topic areas). Please respond to each of the five rating factors along with your project description. Any important attachments, appendices, references, or other relevant information should be placed in the appropriate Appendix, but the total length of all appendices must not exceed 20 pages. Brevity will assist in the efficient review of applications.

This NOFA also includes the following specific format requirement:



**Responses must have clearly and consecutively numbered pages, a complete table of contents (see Checklist and Submittal Table of Contents, Annex 1, and be typewritten on one (1) side only on 8 ½" x 11" paper using a 12 point font with not less than ¾ inch margins on all sides.**

Within the grant resources available, HUD intends to fund the highest rated applications among those that achieve a minimum score of 65 points.

**A) Objectives**

- Describe the major objectives of the project.
- Identify the project's expected significance with respect to achieving some or all of HUD's stated goals and objectives for one or more of the topic areas described in section III(C)(2) of the NOFA.
- Discuss the project with respect to the present state of knowledge of the field, related work in progress by the Principal Investigator under other support, and to similar work in progress elsewhere.

**B) Study Design**

- Outline the general plan of work and provide an adequate description of experimental methods and procedures, including sampling and data collection procedures, analytical methods, and methods for evaluating project data.
- Describe quality assurance practices. These should be sufficient to meet project objectives and minimize loss of data due to out-of-control conditions or equipment malfunctions.

**C) Project Management Plan**

- List in chronological order a schedule of accomplishments, progress, or milestones anticipated over the length of the project.
- Indicate by whom each element of the work plan will be carried out, including any supporting agencies, consultants, and subcontractors.

**D) Other Project Information**

- Projects involving human subjects: Such projects must ensure that subjects are protected from research risks in conformance with the Common Rule *Federal Policy for the Protection of Human Subjects* 45 CFR part 690). All projects involving human subjects must either: (1) have approval from the organization's Institutional Review Board (IRB) before issuance of an award (if available, a copy of the IRB approval form must be included with the application as an attachment); or (2) identify the applicable subsection exempting the proposal from IRB review, as established in section 101(b) of the Common Rule.

**E) Biographical Sketches**

- Provide biographical sketches of the Principal Investigator/Project Director and other senior personnel on the project. These should be concise (each not to exceed 3 pages) and limited to information that is relevant in assessing the qualifications of individuals to conduct and/or manage this proposed project.

### Factors for Award and Scoring

Applications will be reviewed by a Source Evaluation Board which will assign each application a numerical score based on the rating factors presented below (see also section V(B) of the NOFA). Each factor is weighted as indicated by the number of points that are attainable for it. The maximum score that can be assigned to an application is 100 points. Applicants should be certain that these factors are adequately addressed in the project description (see section 2) and accompanying materials.

1.	Capacity of the Applicant and Relevant Organizational Experience	20 pts.
2.	Need/Extent of the Problem	15 pts.
3.	Soundness of Approach	45 pts.
4.	Leveraging Resources	10 pts.
5.	Comprehensiveness and Coordination	10 pts.
	Empowerment Zone and/or Enterprise Community Bonus Points *	<u>n.a.</u>
	TOTAL:	100 pts.

\* Empowerment Zones (EZ) and Enterprise Communities (EC) bonus points do not apply to this NOFA.

## Rating Factors

Requirement Summary	Factor 1.	CAPACITY OF THE APPLICANT AND RELEVANT ORGANIZATIONAL EXPERIENCE 20 points
In this factor, you should:		
<ul style="list-style-type: none"> <li>Discuss your ability to successfully implement the proposed work</li> <li>Provide concise descriptions of the skills and experience of key personnel.</li> <li>Describe past research performance that would be relevant for assessing the research team's capabilities.</li> </ul>	<p>This factor addresses the extent to which you have the ability and organizational resources necessary to successfully implement the proposed activities in a timely manner. The rating of the "applicant" will include any consultants, sub-recipients, and members of consortia which are firmly committed to the project (generally, "subordinate organizations"). Major subfactors include the following:</p>	
	<p><b>A. The Capability and Qualifications of the Principal Investigator and Key Personnel</b> (10 points).</p>	
	<p>Qualifications to carry out the proposed study as evidenced by academic background, relevant publications, and recent (within the past 10 years) relevant research experience. Publications and research experience are considered relevant if they required the acquisition and use of knowledge and skills that can be applied in the planning and execution of the research that is proposed under this NOFA.</p>	
	<p><b>B. Past Performance of the Research Team in Managing Similar Research</b> (10 points)</p>	
	<p>Your demonstrated ability to successfully manage the various aspects of a complex research study in such areas as logistics, research personnel management, data management, quality control, community research involvement (if applicable), and report writing, as well as overall success in project completion (i.e., on time and within budget). You should also demonstrate that the project would have adequate administrative support, including clerical and specialized support in areas such as accounting and equipment maintenance.</p>	
Requirement Summary	Factor 2.	NEED/EXTENT OF THE PROBLEM 15 Points
<ul style="list-style-type: none"> <li>Demonstrate the responsiveness of the proposal to HUD's research objectives.</li> </ul>		
	<p>You should demonstrate responsiveness to solicitation objectives, and explain in detail the likelihood that the research would make a significant contribution towards achieving some or all of HUD's stated goals and objectives for one or more of the topic areas described in sections III(C)(2) of the NOFA.</p>	
	<p>If you are seeking funding for "other" research, as is described in section III(C)(2)(c), you must provide an explanation which demonstrates the importance and need for the research with respect to improving the efficacy and cost-effectiveness of methods used for lead-based paint hazard evaluation and control.</p>	

**Requirement Summary****Factor 3.****SOUNDNESS OF APPROACH  
45 Points**

- A thorough and feasible study design
- Knowledge of relevant scientific literature
- Plan for analyzing and archiving data
- Describe the quality assurance mechanisms which will be integrated into the research design.
- Provide a project management plan that identifies major activities, tasks and deliverables.
- Provide a clear and thorough budget proposal.

This factor addresses the quality of the your proposed research plan. Specific components include the following:

**A. Soundness of the Study Design  
(25 points)**

Your study design must be thorough and feasible, and reflect your knowledge of the relevant scientific literature. You should include a plan for analyzing and archiving data.

**B. Quality Assurance Mechanisms  
(8 points)**

You must describe the quality assurance mechanisms which will be integrated into the research design to ensure the validity and quality of the results. Areas to be addressed include acceptance criteria for data quality, procedures for selection of samples/sample sites, sample handling, measurement and analysis, and any standard/nonstandard quality assurance/control procedures to be followed. Refereed documents (e.g., government reports, peer-reviewed academic literature) which provide the basis for the quality assurance mechanisms should be cited.

**C. Project Management Plan  
(10 points)**

The proposal should include a management plan that provides a schedule for the completion of major activities, tasks and deliverables, with an indication of project milestones, and that there will be adequate resources (e.g., personnel, financial) to successfully meet the proposed schedule and identifies responsible entities.

**D. Budget  
(2 points)**

Your proposed budget will be evaluated for the extent to which it is reasonable, clearly justified, and consistent with the intended use of program funds. HUD is not required to approve or fund all proposed activities. You must thoroughly document and justify all budget categories and costs (Part B of Standard Form 424A) and all major tasks. Describe in detail your budgeted costs for each required program element (major task) included in your overall plan, including consultant and subcontract costs. (Any subcontracts, subgrants on recipients receiving greater than 10 percent of the total Federal budget request should provide a similar cost proposal breakout.) The narrative justification associated with these budgeted costs should be included as an attachment to the Total Budget (Federal Share and Matching). (The budget narrative justification is not counted as part of the 25 page limit for rating the responses.)

- Direct Labor costs should include all full and part time staff required for the (maximum 36 month) planning and implementation phase of the project. These costs should be based on FTE (full time equivalent) or hours/year (e.g., one FTE equals 2080 hours per year).

- You should budget for two trips to HUD headquarters in Washington, DC (plan each trip for two people, assuming a one or two day stay, depending on your location).
- A separate budget proposal should be provided for any subrecipients receiving more than 10% of the total Federal budget request
- You should be prepared to provide supporting documentation for salaries and prices of materials and equipment upon request.
- Organizations that have a federally-negotiated indirect rate should use that rate and the appropriate base. Other organizations should use their current overhead rate.
- Submit as an attachment to the budget sheets the negotiated rate agreements for fringe benefits and indirect costs, if applicable.

The application will not be rated on the proposed cost; however, cost will be considered in addition to the rated factors to determine the proposal most advantageous to the Government. Cost will be the deciding factor when proposals ranked under the listed factors are considered acceptable and are substantially equal.

## Requirement Summary

### Factor 4.

### LEVERAGING RESOURCES

10 points

- Demonstrate how the effectiveness of the grant funds would be increased by the contribution of additional resources.

The extent to which you can demonstrate that the effectiveness of the HUD research grant funds is being increased by securing other public and/or private resources or by structuring the research in a cost-effective manner, such as integrating the project into an existing research effort. Resources may include funding or in-kind contributions (such as services, facilities or equipment) allocated to the purpose(s) of the research. Staff in-kind contributions should be given a monetary value.

You must provide evidence of leveraging/partnerships by including letters of commitment, memoranda of understanding, or agreements to participate from those entities identified as partners in the application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, proposed level of commitment and responsibilities as they relate to the proposed project. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization.

## Requirement Summary

### Factor 5.

### COMPREHENSIVENESS AND COORDINATION

10 points

- How may results of the proposed research be applied by other organizations or programs involved in lead hazard control.

You should describe how the expected results of the proposed research efforts can be applied by HUD or other programs to support lead hazard control evaluation, interventions, planning, policy development, and/or public education in the area of residential lead hazard control.

### **Attachments to Rating Factors**

Attach any items or documents to your application which support or are part of your lead-based paint hazard research program application. These appendices should be limited to maps, data tables, documents and forms that directly pertain to your proposed lead-based paint hazard research project and must be either specifically referenced and/or requested in responding to the rating factors for award. Additional narrative explanation for the rating factors is not acceptable and will not be reviewed. Information, materials, and documents which do not, in HUD's sole opinion, meet these requirements will not be considered in the application review. Note that it is not necessary to submit copies of individual training certificates or licenses.

To speed assembly of the application, please use the following sequence for the appendices:

- Appendix 1 - Materials relating to Rating Factor 1 through Rating Factor 5, in order, including resumes of the key staff (not to exceed 3 pages each)
- Appendix 2 - Other related materials

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### Section 3. Administrative Provisions

#### Obligation of funds

All payments will be made as a grant or cooperative agreement that is either fixed price or cost reimbursable, except that a one (1) percent final payment shall be withheld and made upon completion of all tasks and the delivery and acceptance of the final report by the Government Technical Representative.

#### Increases of awards

After executing the grant agreement and initial obligation of funds, HUD will not increase the grant sum or the total amount to be obligated based upon the original scope of work.

#### Deobligation

Reasons for Deobligation HUD may deobligate amounts for the grant if proposed activities are not initiated or completed within the required time period after the effective date of the award. The grant agreement will set forth in detail other circumstances under which funds may be deobligated and other sanctions imposed.

Treatment of Deobligated Funds HUD may undertake either or both of the following actions:

- Readvertise the availability of funds that have been deobligated under this section in a new NOFA; or
- Choose additional applications which were submitted in response to this NOFA in accordance with the selection process described in Section V of the NOFA.

#### Reports

The grantee shall submit the following types of reports:

- Progress Reports The grantee shall submit quarterly progress reports. These progress reports shall include expenditure reports and a narrative describing important events, milestones, work plan progress, and problems encountered during the period covered. The grantee will be provided the applicable forms and reporting instructions.
- Final Report The grantee shall submit a final report. The final report shall summarize the grantee's plans, execution of the plans, achievements noted, and lessons learned. The report need not be lengthy, but should be of a quality and detail to provide free-standing description to any outside reader of all of the applicant's work and achievement under the grant.



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# **Research To Improve The Evaluation And Control Of Residential Lead-Based Paint Hazards**

## **Application Kit Annexes**

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**Annex 1**

**Program-Specific Application Forms**

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## Checklist and Submission Table of Contents

### Lead Hazard Control Research NOFA

The following checklist is provided to ensure that you have submitted all of the required items in order for you to receive consideration for funding under this NOFA. Applicants must check off each item that they have included in their submission package and note the corresponding page number where the response is located. Applicants are to include this Checklist and Submission Table of Contents with the proposal. Application pages must be consecutively numbered.

#### **Check Off**

#### **Page Number**

<input type="checkbox"/>	Transmittal Letter	Cover page
<input type="checkbox"/>	Checklist And Submission Table Of Contents (this form)	p._____
<input type="checkbox"/>	Project Abstract (limited to 2 pages)	p._____

#### **Application Forms**

<input type="checkbox"/>	Standard Form 424 and SF 424A Section B	p._____
<input type="checkbox"/>	Total Budget (Federal Share and Matching)	p._____
<input type="checkbox"/>	HUD 2880 Disclosure and Update Report	p._____
<input type="checkbox"/>	HUD 50070 Drug-Free Workplace Certification	p._____
<input type="checkbox"/>	HUD 50071 Certification of Payments to Influence Federal Transactions	p._____
<input type="checkbox"/>	Form SF-LLL Disclosure of Lobbying Activities Required	p._____
	<input type="checkbox"/> Form SF-LLL not required.	
<input type="checkbox"/>	HUD 2992 Certification of Status Regarding Debarred Applicants	p._____
<input type="checkbox"/>	Standard Form 424B (Assurances/Non-Construction Programs)	p._____

#### **Response to Rating Factors/Project Description (limited to 25 pages)**

<input type="checkbox"/>	1. Capacity of the Applicant and Relevant Organizational Experience	p._____
<input type="checkbox"/>	2. Needs/Extent of the Problem	p._____
<input type="checkbox"/>	3. Soundness of Approach	p._____
<input type="checkbox"/>	4. Leveraging/Partnerships	p._____
<input type="checkbox"/>	5. Comprehensiveness and Coordination	p._____

#### **Appendices(if applicable)**

<input type="checkbox"/>	Appendix 1 - Material in support of Rating Factors 1 through 5	p._____
<input type="checkbox"/>	Appendix 2 -Other materials related to the application	p._____
<input type="checkbox"/>	HUD 2993 Acknowledgment of Application Receipt	p._____



## **Annex 2**

### **Sample Completed Forms**



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## Total Budget (Federal Share and Matching)

Name and Address of Applicant

## EXAMPLE

## Detailed Description of Budget (for full grant period)

## Category

1. Personnel (Direct Labor)	Estimated Hours	Rate per Hour	Estimated Cos	Federal Share	Match
Position or Individual					
Principal Investigator	2,000	\$39.46	\$78,920	\$78,920	\$0
Research Assistant	2,400	\$17.35	\$41,640	\$41,640	\$0
Senior Environmental Engineer	1,100	\$28.34	\$31,174	\$31,174	\$0
Epidemiologist	1,100	\$31.60	\$34,760	\$27,808	\$6,952
Statistician	800	\$38.40	\$30,720	\$30,720	\$0
Toxicologist	600	\$25.60	\$15,360	\$15,360	\$0
Social Scientist	400	\$25.90	\$10,360	\$5,360	\$5,000
Senior Chemist	2,100	\$28.34	\$59,514	\$59,514	\$0
Lab Technician	2,100	\$10.66	\$22,386	\$18,000	\$4,386
Environmental Engineer	2,100	\$18.95	\$39,795	\$31,000	\$8,795
	0	\$0.00	\$0	\$0	\$0
	0	\$0.00	\$0	\$0	\$0
	0	\$0.00	\$0	\$0	\$0
	0	\$0.00	\$0	\$0	\$0
	0	\$0.00	\$0	\$0	\$0
Total Direct Labor Cost			\$364,629	\$339,496	\$25,133
2. Fringe Benefits	Rate	Base	Estimated Cos	Federal Share	Match
Fringe	34.00%	\$364,629	\$123,974	\$99,215	\$24,759
	0.00%	\$364,629	\$0	\$0	\$0
	0.00%	\$364,629	\$0	\$0	\$0
	0.00%	\$364,629	\$0	\$0	\$0
	0.00%	\$364,629	\$0	\$0	\$0
	0.00%	\$364,629	\$0	\$0	\$0
		\$364,629	\$0	\$0	\$0
		\$364,629	\$0	\$0	\$0
Total Fringe Benefits Cost			\$123,974	\$99,215	\$24,759
3. Travel					
3a. Transportation - Local Private Vehicle	Mileage	Rate per Mile	Estimated Cos	Federal Share	Match
Research Assistant	500	\$0.315	\$158	\$158	\$0
	0	\$0.000	\$0	\$0	\$0
	0	\$0.000	\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Trans - Local Private Vehicle			\$158	\$158	\$0
3b. Transportation - Airfare (show destination)	Trips	Fare	Estimated Cos	Federal Share	Match
Travel to Washington	4	\$520.00	\$2,080	\$2,080	\$0
Travel for training	1	\$390.00	\$390	\$390	\$0
Travel to conferences	1	\$500.00	\$500	\$500	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Transportation - Airfare			\$2,970	\$2,970	\$0

## Budget Summary

## Lead Hazard Control Research NOFA

## Total Budget (Federal Share and Matching)

## E X A M P L E

## Detailed Description of Budget

3c. Transportation - Other	Quantity	Unit Cost	Estimated Cos	Federal Share	Match
Vehicle lease (\$275/mo)	24	\$275.00	\$6,600	\$3,000	\$3,600
Local Travel on Trips	200	\$0.315	\$63	\$63	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Transportation - Other			\$6,663	\$3,063	\$3,600
3d. Per Diem or Subsistence (indicate location)	Days	Rate per Day	Estimated Cos	Federal Share	Match
Travel to Washington	8	\$180.00	\$1,440	\$1,440	\$0
Travel for training	5	\$135.00	\$675	\$675	\$0
Travel to conferences	4	\$155.00	\$620	\$620	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Per Diem or Subsistence			\$2,735	\$2,735	\$0
Total Travel Cost			\$12,526	\$8,926	\$3,600
4. Equipment (Only items over \$5,000 each)	Quantity	Unit Cost	Estimated Cos	Federal Share	Match
XRF Instrument	1	\$16,000.00	\$16,000	\$16,000	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Total Equipment Cost			\$16,000	\$16,000	\$0
5. Supplies and Materials (Items under \$5,000)					
5a. Consumable Supplies	Quantity	Unit Cost	Estimated Cos	Federal Share	Match
Office supplies (\$125/mo)	24	\$125.00	\$3,000	\$1,500	\$1,500
Educational Materials (describe)	1	\$1,000.00	\$1,000	\$1,000	\$0
Field Supplies (describe)	300	\$1.50	\$450	\$450	\$0
Laboratory Supplies (\$200/mo)	24	200	\$4,800	\$4,800	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Consumable Supplies			\$9,250	\$7,750	\$1,500
5b. Non-Consumable Materials	Quantity	Unit Cost	Estimated Cos	Federal Share	Match
XRF Source	1	\$2,000.00	\$2,000	\$2,000	\$0
Software	3	\$350.00	\$1,050	\$1,050	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Non-Consumable Materials			\$3,050	\$3,050	\$0
Total Supplies and Materials Cost			\$12,300	\$10,800	\$1,500

## Budget Summary

## Lead Hazard Control Research NOFA

## Total Budget (Federal Share and Matching)

## E X A M P L E

## Detailed Description of Budget

6. Consultants (Type)	Days	Rate per Day	Estimated Cost	Federal Share	Match
Industrial Hygienist	6	\$450.00	\$2,700	\$2,700	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
<b>Total Consultants Cost</b>			\$2,700	\$2,700	\$0
7. Contracts and Sub-Grantees (List individually)	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Laboratory, Blood Lead Tests	250	\$10.00	\$2,500	\$2,500	\$0
Laboratory, Dust Wipe Tests	400	\$6.50	\$2,600	\$2,600	\$0
Laboratory, Lead Paint Tests	50	\$6.50	\$325	\$325	\$0
	0	\$0.00	\$0	\$0	\$0
	0	\$0.00	\$0	\$0	\$0
	0	\$0.00	\$0	\$0	\$0
	0	\$0.00	\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
<b>Total Subcontracts Cost</b>			\$5,425	\$5,425	\$0
8. Other Direct Costs	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Item					
LBP Training (staff)	2	\$550.00	\$1,100	\$1,100	\$0
Computer Maintenance (\$300/yr)	2	\$300.00	\$600	\$0	\$600
Cellular Phones (1 phone for 2 yrs)	2	\$600.00	\$1,200	\$1,200	\$0
Printing	1	\$1,000.00	\$1,000	\$1,000	\$0
Postage	100	\$0.50	\$50	\$50	\$0
	0	\$0.00	\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
<b>Total Other Direct Costs</b>			\$3,950	\$3,350	\$600
9. Indirect	Rate	Base	Estimated Cost	Federal Share	Match
Type					
Facilities charge	9.50%	\$488,603.00	\$46,417	\$0	\$46,417
Accounting and payroll services	1.00%	\$488,603.00	\$4,886	\$0	\$4,886
	0.00%	\$0.00	\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
<b>Total Indirect Costs</b>			\$51,303	\$0	\$51,303
<b>Total Estimated Costs</b>			\$592,807	\$485,912	\$106,895
<b>Total of Federal Share and Match</b>				<b>\$592,807</b>	

Analysis of Total Estimated Costs	Estimated Cost	Percent of Total	Percent of Labor
1 Personnel (Direct Labor)	\$364,629	61.5%	
2 Fringe Benefits	\$123,974	20.9%	34.0%
4 Travel	\$12,526	2.1%	
5 Equipment	\$16,000	2.7%	
3 Supplies and Materials	\$12,300	2.1%	
6 Consultants	\$2,700	0.5%	
7 Contracts and Sub-Grantees	\$5,425	0.9%	
8 Other Direct Costs	\$3,950	0.7%	
9 Indirect Costs	\$51,303	8.7%	
Total	\$592,807	100.0%	
Federal Share	\$485,912	81.97%	
Match	\$106,895	22.00%	Expressed as a percentage of the Federal Share

## E X A M P L E

# Budget Information - Non-Construction Programs

# E X A M P L E

Exhibit B

OMB Approval No. 0348-0044

Section A - Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.	<b>Do</b>	<b>Not</b>	<b>Complete</b>	<b>This</b>	<b>Section</b>	
4.						
5. Totals						
Section B - Budget Categories						
6. Object Class Categories		Grant Program, Function or Activity				(5) Grand Total
		(1) HUD Request	(2) Match			
a. Personnel (Direct Labor)		\$339,496	\$25,133			\$364,629
b. Fringe Benefits		\$99,215	\$24,759	<b>Do</b>	<b>Do</b>	\$123,974
c. Travel		\$8,926	\$3,600	<b>Not</b>	<b>Not</b>	\$12,526
d. Equipment		\$16,000	\$0	<b>Use</b>	<b>Use</b>	\$16,000
e. Supplies and Materials		\$10,800	\$1,500	<b>This</b>	<b>This</b>	\$12,300
f. Consultants		\$2,700	\$0	<b>Column</b>	<b>Column</b>	\$2,700
g. Contracts and Sub-Grantees		\$5,425	\$0			\$5,425
h. Other Direct Costs		\$3,350	\$600			\$3,950
i. Total Direct Charges (sum of 6a-6h)		<b>\$485,912</b>	<b>\$55,592</b>			<b>\$541,504</b>
j. Indirect Costs		\$0	\$51,303			\$51,303
k. Totals (sum of 6i and 6j)		<b>\$485,912</b>	<b>\$106,895</b>			<b>\$592,807</b>
7. Program Income						

# **Fiscal Year 2000**

## **Notice Of Funding Availability (NOFA)**

### **Federal Register Notice**

This is a copy of the text published in the Federal Register. Please see the General Section of the SuperNOFA in the Forms section at the back of this book.

Available at <http://www.hud.gov/lea> as a text or PDF file.

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**RESEARCH TO IMPROVE THE  
EVALUATION AND CONTROL  
OF RESIDENTIAL  
LEAD-BASED PAINT HAZARDS**





# NOTICE OF FUNDING AVAILABILITY FOR RESEARCH TO IMPROVE THE EVALUATION AND CONTROL OF RESIDENTIAL LEAD-BASED PAINT HAZARDS (LEAD HAZARD CONTROL RESEARCH)

## Program Overview

*Purpose of the Program.* To fund research to improve methods for detecting and controlling residential lead-based paint hazards.

*Available Funds.* Approximately \$1.5 million.

*Eligible Applicants.* Academic and not-for-profit institutions located in the U.S., and State and local governments. For-profit firms also are eligible; however, they are not allowed to earn a fee.

*Application Deadline.* **May 17, 2000.**

*Match.* None required.

## Additional Information

If you are interested in applying for funding under this program, please review carefully the **General Section** of this SuperNOFA and the following additional information.

### I. Application Due Date, Application Kits, Further Information, and Technical Assistance

*Application Due Date.* Submit an original and four copies of your completed application on or before 12:00 midnight, Eastern time, on May 17, 2000, at the address shown below.

See the **General Section** of this SuperNOFA for specific procedures that you must follow for the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

*Address for Submitting Applications.*

*For Mailed Applications.* The address for mailed applications is: Department of Housing and Urban Development, Office of Lead Hazard Control, 451 Seventh Street, SW, Room P3206, Washington, DC 20410.

*For Overnight/Express Mail or Hand Carried Applications.* The address for applications that are hand carried or sent via overnight/express mail delivery is: HUD Office of Lead Hazard Control, Suite 3206, 490 East L'Enfant Plaza, SW, Washington, DC 20024. Hand carried applications will be accepted at this address (490 East L'Enfant) up until 5:00 pm on the application due date.

After 5:00 pm on the application due date, hand carried applications will be accepted until 12:00 midnight, in the South Lobby of HUD Headquarters, 451 Seventh Street, SW, Washington, DC 20410.

*For Application Kits.* You may obtain an application kit from the SuperNOFA

Information Center at 1-800-HUD-8929. Persons with speech or hearing impairments may call the Center's TTY number at 1-800-HUD-2209. When requesting an application kit, please refer to the Lead Hazard Control Research grant program. Please be sure to provide your name, address (including zip code), and telephone number (including area code).

*For Further Information and Technical Assistance.* You may contact: Mr. Eugene Pinzer, Office of Lead Hazard Control, at the address above; telephone (202) 755-1785, extension 120 (this is not toll-free numbers). Hearing- and speech-impaired persons may access the above telephone number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339.

*Satellite Broadcast.* HUD will hold an information broadcast via satellite for potential applicants to learn more about the program and preparation of the application. For more information about the date and time of the broadcast, you should consult the HUD web site at <http://www.hud.gov>.

### II. Amount Allocated

Approximately \$1.5 million will be available to fund research proposals in FY 2000. Grants or cooperative agreements will be awarded on a competitive basis according to the Rating Factors described in Section V(B). HUD anticipates awarding three to five grants ranging from approximately \$200,000 to approximately \$600,000.

### III. Program Description; Eligible Applicants; Eligible Activities

(A) *Program Description. Background.* HUD has been actively engaged in a number of activities relating to lead-based paint as a result of the Lead-Based Paint Poisoning Prevention Act (LBPPPA) of 1971, as amended, 42 U.S.C. 4801-4846. Sections 1051 and 1052 of the Lead Based Paint Hazard Reduction Act of 1992 ("Title X") (42 U.S.C. 4854 and 4854a) state that the Secretary of HUD, in cooperation with other Federal agencies, shall conduct research on specific topics related to the evaluation and subsequent mitigation of residential lead hazards. This research program also implements, in part, HUD's Departmental Strategy for Achieving Environmental Justice pursuant to Executive Order 12898 (Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations).

The HUD-sponsored research also responds to recommendations that were made by the Task Force on Lead-Based

Paint Hazard Reduction and Financing, which was established pursuant to section 1015 of Title X. The Task Force presented its final report to HUD and the Environmental Protection Agency (EPA) in July 1995. The Task Force Report, entitled "Putting the Pieces Together: Controlling Lead Hazards in the Nation's Housing" (see Appendix A of this research program section of the SuperNOFA), recommended research be conducted on a number of key topics to address significant gaps in our knowledge of lead exposure and hazard control.

Research findings will be used in part to update HUD's *Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing* ("Guidelines"), which were published in June, 1995 and amended in September, 1997. The Guidelines are a report on state-of-the-art procedures for all aspects of lead-based paint hazard evaluation and control. The Guidelines reflect the Title X framework for lead hazard control, which distinguishes three types of control measures: interim controls, abatement of lead-based paint hazards, and complete abatement of all lead-based paint. Interim controls are designed to address hazards quickly, inexpensively, and temporarily, while abatement is intended to produce a permanent solution. While the *Guidelines* recommend procedures that are effective in identifying and controlling lead hazards while protecting the health of abatement workers and occupants, HUD recognizes that targeted research and field experience will result in future changes to the *Guidelines*. For availability of the *Guidelines*, see Appendix A of this research program section of the SuperNOFA.

(B) *Eligible Applicants.* Academic and not-for-profit institutions located in the U.S., and State and local governments are eligible under all existing authorizations. For-profit firms also are eligible; however, they are not allowed to earn a fee (i.e., no profit can be made from the project). Federal agencies and Federal employees are not eligible to submit applications. The **General Section** of the SuperNOFA provides additional eligibility requirements.

(C) *Eligible Activities.* (1) *General Goals and Objectives.* The overall goal of this research is to gain knowledge to improve the efficacy and cost-effectiveness of methods for lead-based paint hazard evaluation and control. A table of current lead-related research projects being funded by HUD can be found in Appendix B. HUD is interested in the following research topics:

(a) Evaluation of Lead Hazard Control Methodologies;

—Contribution of Exterior Lead Sources to Lead in Interior Dust;

(b) Low-Cost Analytical Techniques for the Rapid, On-Site Determination of Lead in Dust;

(c) New or Novel Methods of LBP Hazard Evaluation or Control, or other areas of research that are consistent with the overall goals of this research program section of the SuperNOFA.

Research objectives for the research topics listed above are provided separately in the expanded discussion of these topic areas that follows in Section III(C)(2). Although HUD is soliciting proposals for research on these specific topics, the Department will also consider funding applications for research on topics which are relevant under the overall goals and objectives of this research, as described above. In such instances, the applicant should describe how the proposed research activity addresses these overall goals and objectives.

(2) *Background and Objectives for Specific Research Topic Areas.*

(a) *Evaluation of Lead Hazard Control Methodologies.*

(i) *Contributions of Exterior Lead Sources to Lead in Interior Dust.* There is general consensus that lead in interior house dust is the primary pathway of lead exposure for young children. In order to reduce the amount of lead in interior dust, all significant lead sources must be identified and remediated. Various methods have been used to identify the major sources and pathways of lead in house dust, including epidemiological studies and direct tracing of lead from potential sources based on unique physical/chemical characteristics of the lead from each source. Most of the epidemiological studies that have examined this question have concluded that lead-based paint appeared to be the major contributor of lead in interior dust (e.g., Bornschein *et al.*, 1990; Stark *et al.*, 1982; Schwartz and Levin, 1991; Greene *et al.* 1992). Lead tracer studies have most commonly measured particle morphology, accompanying elements, or lead isotopic composition. These studies have been limited; several have identified lead-based paint as the primary contributor to lead particulate (Hunt *et al.*, 1992; Yaffe, *et al.*, 1983). The feasibility of using tracer methods has improved as more cost-effective technologies have been developed. For example, lead isotope ratios can now be measured with acceptable accuracy and precision by inductively coupled plasma mass spectrometry, as opposed

to the more laborious thermal ionization method (Gwiazda, *et al.*, 1998; Woolard, *et al.*, 1998).

The extent to which lead in exterior dust and soil can contribute to the lead content of interior dust has not been quantified. There may be a seasonal fluctuation in dust-lead loading on interior surfaces, especially floors (USEPA 1995; National Center for Lead Safe Housing, 1997). In temperate climates, seasonal variations in interior dust-lead levels may be related to greater opportunity for exterior lead dust to be blown or tracked into homes in warmer seasons (e.g., open windows, more frequent in-and-out foot traffic). The magnitude of the contribution of exterior lead sources to lead in interior dust may be related to: exterior lead-based paint, climate, soil type, soil-lead concentration, extent of ground cover, housing characteristics, and the behavior of occupants.

Applicants proposing research in this topic area should consider the efficiencies that might be gained by working cooperatively with some of the recipients of HUD lead hazard control grants, who are widely distributed throughout the U.S.

(ii) *Goals and Objectives.* HUD's specific goals and objectives for this area of research include:

- Estimate the relative contribution of exterior lead sources to lead dust on interior surfaces, identifying any seasonal changes in this pattern.
- Identify geographic differences in the contribution of exterior lead sources to interior dust-lead and any seasonal changes in this contribution.
- Evaluate methods to reduce the migration of lead from exterior sources into the home.
- Identify factors that are predictive of the lead content of exterior dust and soil and the fraction of exterior-derived lead in interior dust.

(b) *Low-Cost Analytical Techniques for the Rapid Field Determination of Lead in Dust.* Develop an inexpensive and easy to use technique to determine the lead level in house dust, with particular applicability to the range of risk assessment and clearance (40–800  $\mu\text{g}/\text{ft}^2$ ) for HUD-associated projects. *Inexpensive* means under approximately \$1000–1500, with each analysis, including pro rata costs of consumables, blanks, standards, etc., under \$10–20. Consideration will also be given if it can be shown that amortized cost of the equipment is low or that average cost per analysis is low assuming a few hundred analyses per year. *Easy to use* means requiring one person with a high school degree to operate, and requiring under 8 hours operator's training to

meet the performance criteria cited below. *Rapid* means that results could be available in 15 minutes to a few hours, or that a number of samples could be processed simultaneously so that results are available in a few hours. Optionally, address how the same device (with adapters, if needed) could be used to determine lead in paint (with respect to 1  $\text{mg}/\text{cm}^2$  or 0.5% by weight), lead dust in air (with respect to 30–50  $\mu\text{g}/\text{m}^3$ ), after collection on a membrane filter, and/or the lead content of soil (with respect to 200–2000 ppm). Performance criteria for the device will include  $\pm 20\%$  precision at 95% confidence for measurements from 0.5 to 2.0 times the levels of interest cited above. Establish and validate any necessary procedures, such as extraction and/or digestion, that would work well with the field device/procedure. Examine old technology (e.g., colorimetric tests, titrimetric procedures) as well as newer techniques.

Consider the safety and environmental impacts of the procedure, particularly as used in the field. Comparatively recent developments have introduced for consideration the use of a field-portable anodic stripping voltammetry (ASV) device for the determination of lead in paint, lead dust on wipes, or lead in air (after collection on a membrane filter). Similarly, portable field x-ray fluorescence spectrometers (XRF) have been used to determine lead dust on dust wipes or the lead content of soil using a special holder. Neither of these techniques has yet been widely accepted or used in the field by practicing risk assessors. Of course, XRF is the most common method for inspectors to determine the presence of lead-based paint (LBP). There remains a need to introduce and develop a relatively low-cost, precise, accurate, and rapid technique to determine the level of lead dust on a dust wipe, particularly as a clearance determination where otherwise a contractor and crew may have to wait a day or more for a clearance determination to be reported by a laboratory. Such a method for determining lead content on a dust wipe could also serve as a good "screening" tool after LBP abatement or other lead hazard control activities to determine if sufficient cleaning has been performed prior to proceeding to full clearance determinations using dust wipes and laboratory analyses.

We invite the consideration and evaluation of all other techniques, including classical analytical techniques, that may become a low-cost,

accurate, precise and rapid method for the determination of lead in the field. The new or novel application may equally apply to the determination of lead in paint, lead in air, or lead in soil, but these additional uses are not as important. Please refer to some of the references in Appendix A for discussion of ASV, colorimetric tests, and reflectometer tests.

(c) *New or Novel Methods of LBP Hazard Evaluation or Control, or Other Areas of Research that are Consistent with the Overall Goals of this Research Program Section of the SuperNOFA.*

You may address one or more of the research topic areas within your proposal, or submit separate applications for different topic areas. Projects need not address all of the objectives within a given topic area.

(i) Identify and evaluate new methods and/or techniques for LBP hazard control. Identify materials and/or procedures that may be used for abatement or for interim controls. Show the potential utility of these methods for lead hazard control and risk reduction. Evaluate critical elements and potential weaknesses of the methods or techniques, and address how to minimize the effect of each critical element and/or eliminate or mitigate each weakness. Demonstrate where and how these methods have been applied and tested, and/or perform demonstration activities. Illustrate the results obtained, and the costs involved. Recommend cost-effective changes to the Program for inclusion in future HUD lead hazard control grants, and for possible inclusion in future revisions to the Guidelines.

(ii) Evaluate the different programs used by the communities receiving HUD lead hazard control grants and determine which activities produce the greatest number of low-income child-years in treated units.

HUD believes there is a need to expand the possible alternatives to consider when evaluating or addressing the reduction of LBP hazards. Novel techniques and new ideas are hereby solicited to be used in a nationwide program to reduce childhood lead poisoning through the reduction and control of LBP hazards. Such techniques may include one or more of the following:

- Novel techniques or materials for paint film stabilization; as defined in the HUD regulation published Sept. 15, 1999, *paint stabilization* means repairing any physical defect in the substrate of a painted surface that is causing paint deterioration, removing loose paint and other material from the

surface to be treated, and applying a new protective coating or paint.

- Reduction of bio-availability of lead in dust;
- An approach to reduce the formation of leaded dust from friction surfaces;
- Any other technique that may be used to reduce LBP hazards.

Additional ideas will be considered with an open mind toward novel techniques and applications.

Although HUD is soliciting proposals for research on some specific topics, the Department will also consider funding applications for research on topics which are relevant under the overall goals and objectives of this research NOFA, as described above. In such instances, the applicant should describe how the proposed research activity addresses these overall goals and objectives.

#### IV. Program Requirements.

(A) *Applicable Requirements.* Please refer to Section II of the **General Section** of the SuperNOFA, Requirements and Procedures Applicable to All Programs. The threshold requirements are listed in Section II.B of the **General Section** of this SuperNOFA.

(B) *Certifications and Assurances.* In addition to the certifications mentioned in the Section II(G) of the **General Section** of the SuperNOFA, you must comply with the following:

- (1) All relevant State and Federal regulations regarding exposure to and proper disposal of hazardous materials.
- (2) Any blood lead testing, blood lead level test results, and medical referral and follow-up for children under six years of age will be conducted according to the recommendations of the Centers for Disease Control and Prevention (CDC) (*Preventing Lead Poisoning in Young Children*, See Appendix A of this research program section of the SuperNOFA);
- (3) HUD research grant funds will not replace existing resources dedicated to any ongoing project; and
- (4) Laboratory analysis covered by the National Lead Laboratory Accreditation Program (NLLAP) is conducted by a laboratory recognized under the program.

(5) Human research subjects will be protected from research risks in conformance with Federal Policy for the Protection of Human Subjects, codified by HUD at 24 CFR part 60.

#### V. Application Selection Process

(A) *Submitting Applications for Grants.* Applications that meet all of the threshold requirements will be eligible to be scored and ranked, based on the

total number of points allocated for each of the rating factors described below in Section V(B) of this program section of the SuperNOFA. Your application must receive a total score of at least 65 points to remain in consideration for funding.

Awards will be made in rank order, within the limits of funding availability.

You may address more than one of the research topic areas within your proposal, or submit separate applications for different topic areas. Projects need not address all of the objectives within a given topic area. While you will not be penalized for not addressing all of the specific objectives for a given topic area, if two applications for research in a given topic have equal scores, HUD will select the applicant whose project addresses the most objectives.

You are encouraged to plan projects that can be completed over a short time period (e.g., 12 to 24 months from the date of award) so useful information generated from the research can be available for policy or program decisions and disseminated to the public as quickly as possible.

Regarding the amount to be awarded to the selected applicants, please refer to the Negotiations section in the **General Section** of this SuperNOFA.

(1) *Use of Residual Funds.* In the selection process, HUD reserves the right to offer partial funding to any or all applicants. If you are offered a reduced grant amount, you will have a maximum of seven (7) calendar days to accept such a reduced award. If you fail to respond within the seven day limit, you shall be considered to have declined the award.

(2) *Set-Aside for Previously Unfunded Applicants.* Existing HUD lead hazard research grantees, previously funded grantees, or previously unfunded applicants are eligible to apply for grants. At least 20% of the funds under this research program section of the SuperNOFA will be made available to applicants who are not current (or previous) Lead Hazard Control Research grantees, provided that no application shall be funded that receives lower than the minimum score listed in Section V(A) of this program section above. Applications from existing (or previous) grantees will be evaluated and scored as a separate group and will not be in direct competition with applications from previously unfunded applicants.

(B) *Rating Factors.* The factors for rating and ranking applicants, and maximum points for each factor, are provided below. The maximum number of points to be awarded is 100. The EZ/EC bonus points described in the

**General Section** of the SuperNOFA do not apply to this Research NOFA.

**Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points)**

This factor addresses the extent to which you have the ability and organizational resources necessary to successfully implement your proposed activities in a timely manner. The rating of you, the "applicant," will include any sub-grantees, consultants, sub-recipients, and members of consortia that are firmly committed to the project (generally, "subordinate organizations"). In rating this factor HUD will consider the extent to which your application demonstrates:

(1) *The capability and qualifications of the principal investigator and key personnel (10 points)*. Qualifications to carry out the proposed study as evidenced by academic background, relevant publications, and recent (within the past 10 years) relevant research experience. Publications and research experience are considered relevant if they required the acquisition and use of knowledge and skills that can be applied in the planning and execution of the research that is proposed under this program section of this SuperNOFA.

(2) *Past performance of the research team in managing similar research (10 points)*. Demonstrated ability to successfully manage various aspects of a complex research study in such areas as logistics, research personnel management, data management, quality control, community research involvement (if applicable), and report writing, as well as overall success in project completion (*i.e.*, research completed on time and within budget). You should also demonstrate that your project would have adequate administrative support, including clerical and specialized support in areas such as accounting and equipment maintenance.

**Rating Factor 2: Need/Extent of the Problem (15 Points)**

(1) You must demonstrate responsiveness to solicitation objectives. You should explain in detail how your research would make a significant contribution towards achieving some or all of HUD's stated goals and objectives for one or more of the topic areas described in Sections III(C)(2)(a)–(c) of this program section of the SuperNOFA. You also should explain how your proposed research could lead to improvements or additions to the HUD Guidelines.

(2) If you are seeking funding for "other" research, as is described in section III(C)(2)(c), you must provide an explanation which demonstrates the importance and need for the research with respect to addressing the overall goal of this research program.

**Rating Factor 3: Soundness of Approach (45 Points)**

This factor addresses the quality of your proposed research plan. Specific components include the following:

*Soundness of the study design (25 points)*. The project description/study design must be thorough and feasible, and reflect your knowledge of the relevant scientific literature. You should include a plan for analyzing and archiving data. You should approach your study design as a project with a goal, some activities with associated tasks, a time frame, and an associated cost.

*Quality assurance mechanisms (8 points)*. You must describe the quality assurance mechanisms which will be integrated into your research design to ensure the validity and quality of the results. Areas to be addressed include acceptance criteria for data quality, procedures for selection of samples/sample sites, sample handling, measurement and analysis, and any standard/nonstandard quality assurance/control procedures to be followed. Documents (*e.g.*, government reports, peer-reviewed academic literature) which provide the basis for your quality assurance mechanisms should be cited.

(2) *Project management plan (10 points)*. The proposal should include a management plan that provides a schedule for the completion of major activities, tasks and deliverables, with an indication that there will be adequate resources (*e.g.*, personnel, financial) to successfully meet the proposed schedule. Projects with a duration of 24 months or less will be awarded more points in this category than projects with a longer duration.

(3) *Budget Proposal (2 Points)*. Your budget proposal should thoroughly estimate all applicable direct and indirect costs, and be presented in a clear and coherent format in accordance with the requirements listed in the **General Section** of this SuperNOFA. Your budget should be submitted in the format recommended; an electronic spreadsheet is available on HUD's website, [www.hud.gov/lea](http://www.hud.gov/lea). Your budget proposal should be activity and task related.

**Rating Factor 4: Leveraging Resources (10 Points)**

Your proposal should demonstrate that the effectiveness of the HUD research grant funds are being increased by securing other public and/or private resources or by structuring the research in a cost-effective manner, such as integrating the project into an existing research effort. Resources may include funding or in-kind contributions (such as services, facilities or equipment) allocated to the purpose(s) of your research. Staff and in-kind contributions should be given a monetary value.

You should provide evidence of leveraging/partnerships by attaching to your application the following: letters of firm commitment, memoranda of understanding, or agreements to participate from those entities identified as partners in the research efforts. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, proposed level of commitment (with monetary value) and responsibilities as they relate to specific activities or tasks of your proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization.

**Rating Factor 5: Comprehensiveness and Coordination (10 Points)**

You should describe how the results of your proposed research efforts will support planning, policy development, implementation of lead hazard control programs, and/or public education in the area of residential lead hazard control or in accordance with the goals and operations of the Partnership for Advancing Technology in Housing (PATH) (refer to Section VI(E) of the **General Section** of the SuperNOFA). If your application involves a particular community, it should relate to the community's Consolidated Plan and Analysis Impediments to Fair Housing Choice. In addition, you should also address the extent to which your research could be used to expand fair housing choice and to affirmatively further fair housing.

**VI. Application Submission Requirements**

(A) *Applicant Data*. Your application must contain the items listed in this Section V(B). These items include the standard forms, certifications, and assurances listed in the **General Section** of the SuperNOFA that are applicable to this funding (collectively, referred to as the "standard forms"). The standard forms can be found in Appendix B to

the **General Section** of the SuperNOFA. The remaining application items that are forms (*i.e.*, excluding such items as narratives), referred to as the non-standard forms can be found as Appendix C to this program section of the SuperNOFA: The items are as follows:

(1) Transmittal Letter that identifies what the research program funds are requested for, the dollar amount requested, and the applicant or applicants submitting the application. If two or more organizations are working together on the research, a primary applicant must be designated.

(2) Checklist and Submission Table of Contents (see Appendix C).

(3) The name, mailing address, telephone number, and principal contact person of the prime applicant. If you have consortium associates, sub-grantees, partners, major subcontractors, joint venture participants, or others contributing resources to your project, similar information must be provided for each of these entities.

(4) Completed Forms HUD-2880, Applicant/Recipient Disclosure/Update Report; Certification Regarding Lobbying; and/or SF-LLL, Disclosure of Lobbying Activities, where applicable.

(5) Completed Standard Forms SF-424, 424A, 424B, and other certifications and assurances listed in the **General Section** of the SuperNOFA and in Section VII(B) of this program section of the SuperNOFA.

(6) A detailed total budget with supporting cost justification for all budget categories of the Federal grant request. Use the budget format discussed in Section V(B)3(3), above. (See Appendix C.)

(7) A two-page (maximum) abstract containing the following information: The project title, the names and affiliations of all investigators, and a summary of the objectives, expected results, and study design described in the proposal.

(8) A project description/narrative statement addressing the rating factors for award of funding under this program section of the SuperNOFA. The narrative statement must be numbered in accordance with each factor for award (Rating Factors 1 through 5). The response to the rating factors should not exceed a total of 25 pages for each research topic area.

(9) Any important attachments, appendices, references, or other relevant information may accompany the project description, but must not exceed twenty (20) pages for the entire application.

(10) The resumes of the principal investigator and other key personnel. Resumes shall not exceed three pages

each, and are limited to information that is relevant in assessing the qualifications of key personnel to conduct and/or manage the proposed research.

(11) Copy of State Clearing House Approval Notification (see application kit to determine if applicable).

## VII. Corrections to Deficient Applications

The **General Section** of the SuperNOFA provides the procedures for corrections to deficient applications.

## VIII. Environmental Requirements

In accordance with 24 CFR 50.19(b)(1) and (5) of the HUD regulations, activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and are not subject to environmental review under the related laws and authorities.

## IX. Authority

These grants are authorized under sections 1051 and 1052 of the Residential Lead-Based Paint Hazard Reduction Act of 1992, which is Title X of the Housing and Community Development Act of 1992.

## Appendix A—Relevant Publications and Guidelines

**To secure any of the documents listed, call the listed telephone number (generally, the telephone numbers are not toll-free).**

### Regulations

1. Worker Protection: OSHA publication—Telephone: 202-693-1888 (OSHA Regulations) (available for a charge)—Government Printing Office—Telephone: 202-512-1800 (not a toll-free number):

—General Industry Lead Standard, 29 CFR 1910.1025 (Document Number 869022001124). Can be downloaded from the Internet without charge from [www.osha-slc.gov/OshStd\\_data/1910\\_1025.html](http://www.osha-slc.gov/OshStd_data/1910_1025.html).

—Lead Exposure in Construction, 29 CFR 1926.62, and appendices A, B, C, and D (Document Number 869022001141). Can be downloaded from the Internet without charge from [www.osha-slc.gov/OshStd\\_data/1926\\_0062.html](http://www.osha-slc.gov/OshStd_data/1926_0062.html).

2. Waste Disposal: 40 CFR parts 260-268 (EPA regulations) (available for a charge)—Telephone 1-800-424-9346, or, from the Washington, DC, metropolitan area, 1-703-412-9810 (not a toll-free number). Can be downloaded from the Internet without charge from [www.epa.gov/docs/epacfr40/chapt-I.info/subch-I/](http://www.epa.gov/docs/epacfr40/chapt-I.info/subch-I/).

3. Lead: Requirements for Lead-Based Paint Activities in Target Housing and Child-Occupied Facilities: Final Rule: 40 CFR part 745, subparts L and Q (EPA) (State Certification and Accreditation Program for those engaged in lead-based paint activities)—Telephone: 1-202-554-1404

(Toxic Substances Control Act Hotline) (not a toll-free number). Can be downloaded from the Internet without a charge from [www.epa.gov/opptintr/lead/index.html](http://www.epa.gov/opptintr/lead/index.html).

4. Requirements for Notification, Evaluation and Reduction of Lead-Based Paint Hazards in Federally Owned Residential Property and Housing Receiving Federal Assistance: Final Rule: 24 CFR part 35, subparts A through R, published September 15, 1999, at **Federal Register** pages 50201 through 50231 (HUD)—Telephone: 1-800-424-LEAD (National Lead Information Center). Can be downloaded from the Internet without a charge from [www.hud.gov/lea/leadwnlo.html](http://www.hud.gov/lea/leadwnlo.html) or [www.epa.gov/lead/leadbase.htm](http://www.epa.gov/lead/leadbase.htm).

5. U.S. Environmental Protection Agency. Lead: Identification of Dangerous Levels of Lead; Proposed Rule. **Federal Register**: 63 FR 30302-30355, June 3, 1998. TSCA Hotline: 202-554-1404 (not a toll-free number). Can be downloaded from the Internet without a charge from [www.epa.gov/lead/leadhaz.htm](http://www.epa.gov/lead/leadhaz.htm).

## Guidelines

1. Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing; HUD, June 1995, and amended September, 1997. (available for a charge)—Telephone: 800-245-2691. Can be downloaded from the Internet without a charge from [www.hud.gov/lea/leadwnlo.html](http://www.hud.gov/lea/leadwnlo.html).

2. Preventing Lead Poisoning in Young Children; Centers for Disease Control, October 1991: Telephone: 888-232-6789.

3. Screening Young Children for Lead Poisoning: Guidance for State and Local Public Health Officials, November 1997; Centers for Disease Control and Prevention (CDC): Telephone: 888-232-6789. Can be downloaded from the Internet without a charge from [www.hud.gov/lea/leadwnlo.html](http://www.hud.gov/lea/leadwnlo.html).

## Reports and Articles

1. Putting the Pieces Together: Controlling Lead Hazards in the Nation's Housing. (Summary and Full Report); HUD, July 1995 (available for a charge)—Telephone 800-245-2691. Can be downloaded from the Internet without a charge from [www.hud.gov/lea/leadwnlo.html](http://www.hud.gov/lea/leadwnlo.html).

2. Comprehensive and Workable Plan for the Abatement of Lead-Based Paint in Privately Owned Housing: Report to Congress; HUD, December 7, 1990 (available for a charge)—Telephone 800-245-2691.

3. A Field Test of Lead-Based Paint Testing Technologies: Summary Report (Summary also available); U.S. Environmental Protection Agency, May 1995. EPA 747-R-95-002a (available at no charge)—Telephone 800-424-5323. Can be downloaded from the Internet without a charge from [www.epa.gov/lead/summary.txt](http://www.epa.gov/lead/summary.txt).

4. Urban Soil Lead Abatement Demonstration Project. EPA Integrated Report, U.S. Environmental Protection Agency, April, 1996. EPA/600/P-93-001aF (available from National Technical Information Service (NTIS) for a charge)—Telephone 800-553-6847. An abstract and additional ordering information can be downloaded from the Internet without a

charge from [www.epa.gov/nceawww1/lead.htm](http://www.epa.gov/nceawww1/lead.htm).

5. Luk, K.K., Grohse, P.M., Hodson, L.L., Binstock, D.A., Van Hise, C.C., and Gutknecht, W.F., "Standard Operating Procedures for the Field Analysis of Lead in Paint, Bulk Dust, and Soil by Ultrasonic, Acid Digestion and Colorimetric Measurement," EPA 600/R-93/200, U.S. Environmental Protection Agency, Research Triangle Park, NC, 1993. Available from the NTIS (NTIS #PB94-121738).

6. Williams, E.E., Van Hise, C.C., and Gutknecht, W.F., "Evaluation of the Performance of Reflectance and Electrochemical Technologies for the Measurement of Lead in Characterized Paints, Bulk Dusts, and Soils," EPA 600/R-95/093, U.S. Environmental Protection Agency, Research Triangle Park, NC, 1996. Available from the NTIS (NTIS #PB97-126437).

7. Grohse, P.M., Van Hise, C.C., Wilson, B.M., Luk, K.K., Binstock, D.A., and Gutknecht, W.F., "Standard Operating Procedure for the Field Analysis of Lead in Dust Collected by Vacuum and on Wipes by Ultrasonic, Acid Digestion, and Colorimetric Measurement," EPA 600/R-95/151, U.S. Environmental Protection Agency, Research Triangle Park, NC, 1998. Available from the NTIS (NTIS #PB98-140734).

8. Roberts, J.W., Crutcher, E.R., 3rd, Crutcher, E.R. 4th, Glass, G., and Spittler, T.M., "Quantitative Analysis of Road and Carpet Dust on Shoes," in Measurement of Toxic and Related Pollutants, Air & Waste Management Association, Pittsburgh, PA, (1996). pp. 829-835.

9. Roberts, J.W., Clifford, W.S., Glass, G., and Hummer, P.G., "Reducing Dust, Lead, Dust Mites, Bacteria, and Fungi in Carpets by Vacuuming," Arch Environ. Contam. Toxicol., 36, 477-484 (1999).

10. Ashley, K., "Ultrasonic Extraction and Field-Portable Anodic Stripping Voltammetry of Lead from Environmental Samples," *Electroanalysis*, 7, No. 12, 1995, p 1189.

11. Bornschein, R., Clark, S., Pan, W., and Succop, P. (1990) Midvale Community Lead Study. University of Cincinnati Medical Center Final Report.

12. Greene, T., Ernhart, C., and Boyd, T. (1992) "Contributions of Risk Factors to Elevated Blood and Dentine Lead in Preschool Children." *Science of the Total Environment*. 115(3):249-260.

13. Hunt, A., Johnson D.L., Watt, J.M., and Thornton, I. (1992) Characterizing the Sources of Particulate Lead in House Dust by Automated Scanning Electron Microscopy. *Environmental Science and Technology*. 26(8):1513-1522.

14. National Center for Lead-Safe Housing and University of Cincinnati Department of Environmental Health. (1997) Evaluation of the HUD Lead-Based Paint Hazard Control Grant Program: Fifth Interim Report. Washington, DC: U.S. Department of Housing and Urban Development.

15. Schwartz, J., and Levin, R. (1991) "The Risk of Lead Toxicity in Homes with Lead Paint Hazards." *Environmental Research*. 54(1):1-7.

16. Stark, A., Quah, R., Meigs, J., and Delouise, E. (1982) "The Relationship of Environmental Lead to Blood-Lead Levels in Children." *Environmental Research*. 27:372-383.

17. U.S. EPA. (1995) Seasonal Rhythms of Blood-Lead Levels: Boston, 1979-1983. EPA747-R94-003. Washington, DC: U.S. Environmental Protection Agency.

18. Yaffee, Y., C.P. Flessel, J.J. Wesolowski, A. Del Rosario, G.N. Guirguis, V. Matias, T.E. Degarmo and G.C. Coleman. 1983. Identification of lead sources in California

children using the stable isotope ratio technique. Arch. Env. Health. 38(4): 237-245.

19. Gwiazda, R., Woolard, D., and Smith, D. Improved lead isotope ratio measurements in environmental and biological samples with a double focussing magnetic sector inductively coupled plasma mass spectrometer (ICP-MS), J. Anal. At. Spect., 13:1233-1238, 1998.

20. Woolard D., Franks R., Smith D. An inductively coupled plasma-magnetic sector mass spectrometry method for stable lead isotope traces studies. J. Anal. At. Spectrom 13:1015-1019 (1998).

21. K. Ashley, K.J. Mapp and M. Millson, "Ultrasonic Extraction and Field-Portable Anodic Stripping Voltammetry for the Determination of Lead in Workplace Air Samples"; Am. Ind. Hyg. Assoc. J. 59: 671-679 (1998).

22. K. Ashley, R. Song, C.A. Esche, P.C. Schlecht, P.A. Baron, and T.J. Wise, "Ultrasonic Extraction and Portable Anodic Stripping Voltammetric Measurement of Lead in Paint, Dust Wipes, Soil, and Air: An Interlaboratory Evaluation"; J. Environ. Monit., in press (1999).

23. K. Ashley, "On-Site Extraction and Anodic Stripping Voltammetric Determination of Lead"; Appl. Occup. Environ. Hyg. 13: 94-98 (1998). ASTM PS 87, "Provisional Standard Practice for Ultrasonic Extraction of Paint, Dust, Soil, and Air Samples for Subsequent Determination of Lead"; in Annual Book of ASTM Standards, Vol. 04.11. ASTM: West Conshohocken, PA (1998).

24. ASTM PS 88, "Provisional Standard Practice for Determination of Lead in Paint, Settled Dust, Soil, and Air Particulate by Field-Portable Electroanalysis"; in Annual Book of ASTM Standards, Vol. 04.11. ASTM: West Conshohocken, PA (1998).

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## APPENDIX B -- Lead-Related Research; Current Projects as of September, 1999

## Department of Housing and Urban Development (HUD)

## Research on Lead Measurement and Sampling Methods

No.	Title	Description
1	Spot-Test Kit (STK) Performance Evaluation	Develop standard protocol for evaluating performance of commercially available STKs. Eight kits, including both sodium sulfide- and rhodizonate-based kits, will be evaluated using this protocol.
2	Development and Validation of XRF Performance Measurement Protocol	Protocol will allow independent 3 <sup>rd</sup> party performance testing of XRF paint analyzers and replace current system of testing a specific archived set of lead painted architectural components.
3	XRF Fast Mode Evaluation Protocol	Development of a method to assess and report on the performance of portable XRF paint analyzers in "fast mode".
4	Analysis of Dust Wipes Using Portable XRF Analyzers	The objective is to develop a standard methodology to assess the performance of portable XRF analyzers in measuring lead in dust wipes.
5	Sampling Lead Dust in Carpets and Upholstery	To compare the performance of 5 different methods (handwash, vacuum, wipe, adhesive label, and a "membrane" sampler) of sampling dust-lead from carpets and upholstery in homes of lead poisoned children.
6	Composite Sampling Study	Side-by-side single and composite dust lead wipe samples will be collected during clearance and risk assessment sampling at multiple study sites.
7	Enhancing the Sensitivity and Precision of Dust-Wipe Lead Samples by Increasing the Area of Sample Collection	A lab phase will assess the performance of thick and thin wipe materials. A field phase will assess the use of dust samples of two square feet vs. one square foot to improve method sensitivity.
8	Use of Portable Lead Analyzers to Reduce Clearance Dust Wipe Failure Rates	The feasibility of using field portable lead analysis methods to screen clearance dust wipe samples will be assessed in the field.
9	Develop a Method to Measure Residential Soil-Lead Using a Portable XRF Analyzer	Existing methods and protocol will be adapted to develop a method for analyzing residential soil for lead using a portable XRF Analyzer.



## Research on Lead Hazard Assessment Methods

10	Risk Assessment Method Validation Field Study	A 3-site field study to assess the predictive power of the HUD/EPA risk assessment and screening protocols (i.e., with respect to dust-lead and children's PbB levels).
11	Risk Assessment Method Validation Using Existing Data Sets	Data collected from two epidemiological studies of childhood lead exposure will be analyzed to assess the predictive power of the HUD/EPA risk assessment protocol.
12	Lead Hazard Assessment of Carpets	Examine transfer of particles from carpet to hands (conditioned and field samples), distribution of dust and lead within carpet pile, and potential exposure to particulate in "particle cloud" created when walking on carpet.
13	Lead Hazard of Upholstery	The primary objective is to assess the potential for exposure to dust-lead from upholstery (conditioned samples and field samples).
14	Lead Hazard Assessment of Residential Air Ducts Emissions	Laboratory phase will measure lead particle emissions from a simulated household ventilation duct system under varying conditions (air velocity, humidity, etc.).
15	LPB Inspection Protocols for Multifamily Housing	Statistical models will be developed and existing data will be analyzed to evaluate various inspection protocols for detecting and characterizing the presence of LBP in multi-family housing with a reasonable level of confidence.
16	Tracing Dust Lead to Residential Friction Surfaces	Dust samples will be analyzed by several different methods to estimate the contribution of lead-based paint dust from friction surfaces to the lead content of dust on interior residential surfaces.
17	Tracing Dust-Lead to Sources Using Lead Isotopic Composition Analysis	A fast, inexpensive method of lead isotopic analysis (inductively coupled plasma mass spectrometry; ICP-MS) will be used to identify sources of lead in house dust, and to estimate the fraction of children's blood-lead attributed to mobilization of bone-lead.
18	Lead Release From Demolition of Pre-1950 Inner-City Housing	Researchers will measure the release of lead into the surrounding neighborhood (sampling both airborne and settled dust) during the demolition of pre-1950 Baltimore row houses.
19	Accumulation Rate of Exterior Leaded Dust and Reducing Lead Bioavailability in Soils	Determine how quickly lead in exterior dust accumulates in mats placed at the entryways of urban row houses. Identify what factors contribute to high levels of lead in exterior dust. Study mixing organic compost into lead-contaminated soils to reduce the hazards.

**Lead Hazard Control Research**

20	Effectiveness of Alternative Dust-Lead Cleaning Strategies	Compare the efficacy of non-phosphate cleaner vs. trisodium phosphate in cleaning floors and sills; compare the efficacy of household vacuums vs. HEPA vacuums on same surfaces.
21	Efficacy of Household Vacuums and a Nonphosphate Detergent in Reducing Lead Dust on Floors	Conduct lab testing of household vacuums to select 3 moderately priced vacuums for use in the field component of the study. Compare the performance of the household vacuums with a HEPA vacuum in cleaning lead-contaminated dust. Identify parameters predictive of performance.
22	Factors Affecting the Retention of Leaded Dust in Carpets	The research will identify major factors (e.g., pile height, fiber density, fiber coating) which affect the extent to which carpets can be cleaned of leaded dust in the laboratory and field.
23	Penetration of Particulate Through Vacuum Bags	Develop a method for laboratory testing of commonly available vacuum cleaner bags to determine their efficiency in trapping fine dust.
24	Deposition of Airborne Particulate Following Dust-Generating Activities	Researchers will examine the rate of leaded particulate deposition in a test room following activities which generate significant quantities of leaded dust.
25	Sealing Efficacy of Enclosures	Assess the potential for the migration of leaded dust through joints associated with enclosures in the laboratory.
26	Evaluation of the Effectiveness of Maryland Law (HB 760)	Maryland law requires periodic lead hazard control treatments in all pre-1950 rental housing within the state. This study will evaluate the effectiveness of the required treatments in reducing leaded dust.
27	Cleaning Lead Contaminated Dust from Hard Surfaces	The purpose of this research is to determine the effectiveness of various detergents in cleaning lead-contaminated dust from hard surfaces under varying conditions of wear and dust loading.
28	Monitoring HEPA Vacuum Dust Pick-up with an Aerosol Photometer	The objective of this research is develop a dynamic reading instrument that will indicate when a surface is sufficiently "clean" and thus reduce the rate of post-intervention clearance failures.
29	Ergonomic Risk factors for Lead Hazard Control Workers	Ergonomic risk factors in the lead hazard control industry will be identified through field observations and worker interviews.
30	Reducing Hazards of Lead-Contaminated Urban Soils	Assess low cost methods to reduce the hazard posed by lead-contaminated yard soils in an urban, low income neighborhood. Control methods focus on application of soil contact barriers, including bark mulch, crushed stone, and improved grass and plant cover.
31	Reducing Lead Levels in Urban Sidewalk Dust	Assess ways to reduce levels of lead in dust on inner-city sidewalks. Examine treatments to stabilize deteriorated lead-based paint on building exteriors; conduct regular sidewalk and street cleaning.

### Research on Long-term Effectiveness of Lead Hazard Control Interventions

32	Evaluation of HUD Lead Hazard Control Grant Program	Assess the efficacy of various interim control and abatement techniques (based on blood-lead and dust-lead levels) as employed by 14 state and local grantees expected to enroll about 2,900 units
33	Extension to the Baltimore Repair and Maintenance Study	Compare the effectiveness of three levels of interim control interventions (capped at \$1,650, \$3,500, and \$7,000, respectively) applied to structurally sound inner-city Baltimore row houses.
34	Reaccumulation of Dust-Lead Following Cleaning (TLC study homes)	Follow-up dust-wipe sampling in urban homes from the "Treatment of Lead-Poisoned Children" study to determine the rate of reaccumulation of dust-lead following professional cleaning interventions by themselves or in combination with minor repairs.
35	Evaluation of Treatments Required by Maryland Lead-Based Paint Risk Reduction	Evaluate the effectiveness of the risk reduction measures prescribed in Maryland law, HB 760, in bringing the levels of lead dust on floors, window sills, and window troughs down to acceptable levels.
36	Evaluation of the Milwaukee Lead Hazard Control Ordinance	Assess the law requiring low level lead hazard control treatments (focusing on windows) in all pre-1950 rental units in 2 high risk neighborhoods by recruiting infants, with subsequent 2-year follow-up (dust-Pb and blood-Pb). Assess the effect on blood-Pb by screening in treatment and control neighborhoods.

### Survey Research

37	National Survey of Lead and Allergens in Housing	Samples are being collected from a nationally representative sample of 750 housing units; lead samples include dust wipes, vacuum samples (carpets), soil, and <i>in-situ</i> XRF testing. NIEHS-funded component will involve vacuum dust sampling for allergen identification.
38	Lead Hazard Awareness Supplement to the December 1999 Current Population Surveys	Approximately 42,000 households will be questioned on their awareness of lead hazards, sources of knowledge of lead hazards, testing of homes and household members for lead exposure, lead hazard reduction practices, and receipt of disclosure information.
39	Lead Module for the 1999 American Housing Survey	Respondents to the 1999 American Housing Survey will be asked about paint deterioration on the interior and exterior of their dwelling, repairs and renovations where lead-based paint may have been disturbed, and the receipt of disclosure among recent movers.

### APPENDIX C

The non-standard forms, which follow, are required for your Lead Hazard Control Research application.

## Checklist and Submission Table of Contents

### Lead Hazard Control Research NOFA

The following checklist is provided to ensure that you have submitted all of the required items in order for you to receive consideration for funding under this NOFA. Applicants must check off each item that they have included in their submission package and note the corresponding page number where the response is located. Applicants are to include this Checklist and Submission Table of Contents with the proposal. Application pages must be consecutively numbered.

<u>Check Off</u>	<u>Page Number</u>
<input type="checkbox"/> Transmittal Letter	Cover page
<input type="checkbox"/> Checklist And Submission Table Of Contents (this form)	p. ____
<input type="checkbox"/> Project Abstract (limited to 2 pages)	p. ____
 <b>Application Forms</b>	
<input type="checkbox"/> Standard Form 424 and SF 424A Section B	p. ____
<input type="checkbox"/> Total Budget (Federal Share and Matching)	p. ____
<input type="checkbox"/> HUD 2880 Disclosure and Update Report	p. ____
<input type="checkbox"/> HUD 50070 Drug-Free Workplace Certification	p. ____
<input type="checkbox"/> HUD 50071 Certification of Payments to Influence Federal Transactions	p. ____
<input type="checkbox"/> Form SF-LLL Disclosure of Lobbying Activities Required	p. ____
<input type="checkbox"/> Form SF-LLL not required.	
<input type="checkbox"/> HUD 2992 Certification of Status Regarding Debarred Applicants	p. ____
<input type="checkbox"/> Standard Form 424B (Assurances/Non-Construction Programs)	p. ____
 <b>Response to Rating Factors/Project Description (limited to 25 pages)</b>	
<input type="checkbox"/> 1. Capacity of the Applicant and Relevant Organizational Experience	p. ____
<input type="checkbox"/> 2. Needs/Extent of the Problem	p. ____
<input type="checkbox"/> 3. Soundness of Approach	p. ____
<input type="checkbox"/> 4. Leveraging/Partnerships	p. ____
<input type="checkbox"/> 5. Comprehensiveness and Coordination	p. ____
 <b>Appendices (if applicable)</b>	
<input type="checkbox"/> Appendix 1 - Material in support of Rating Factors 1 through 5	p. ____
<input type="checkbox"/> Appendix 2 - Other materials related to the application	p. ____
<input type="checkbox"/> HUD 2993 Acknowledgment of Application Receipt	p. ____

### Budget Summary

## Name and Address of Applicant

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## Category

Prepared 01/11/2000

Spreadsheet version available from [www.hud.gov/lea/leaforms.html](http://www.hud.gov/lea/leaforms.html)

## Budget Summary

## Total Budget (Federal Share and Matching)

Detailed Description of Budget					
3c. Transportation - Other	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Subtotal - Transportation - Other					
3d. Per Diem or Subsistence (indicate location)	Days	Rate per Day	Estimated Cost	Federal Share	Match
Subtotal - Per Diem or Subsistence					
Total Travel Cost					
4. Equipment (Only items over \$5,000 each)	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Total Equipment Cost					
5. Supplies and Materials (Items under \$5,000)					
5a. Consumable Supplies	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Subtotal - Consumable Supplies					
5b. Non-Consumable Materials	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Subtotal - Non-Consumable Materials					
Total Supplies and Materials Cost					

### Budget Summary

Detailed Description of Budget					
6. Consultants (Type)	Days	Rate per Day	Estimated Cost	Federal Share	Match
Total Consultants Cost					
7. Contracts and Sub-Grantees (List individually)	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Total Subcontracts Cost					
8. Other Direct Costs	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Item					
Total Other Direct Costs					
9. Indirect	Rate	Base	Estimated Cost	Federal Share	Match
Type					
Total Indirect Costs					
Total Estimated Costs					

**Total of Federal Share and Match**

Spreadsheet version available from [www.hud.gov/lea/leaforms.html](http://www.hud.gov/lea/leaforms.html)

Analysis of Total Estimated Costs	Estimated Cost	Percent of Total	Percent of Labor
1 Personnel (Direct Labor)			
2 Fringe Benefits			
3 Travel			
4 Equipment			
5 Supplies and Materials			
6 Consultants			
7 Contracts and Sub-Grantees			
8 Other Direct Costs			
9 Indirect Costs			
Total			

Federal Share  
Match

Expressed as a percentage of the Federal Share

Some cells in this spreadsheet are protected. There is no password for this spreadsheet.



## Instructions for Completing the Budget Summary Spreadsheet

### Lead Hazard Control Research NOFA

Item	Discussion
1 - Personnel (Direct Labor)	<p>This section should show the labor costs for all individuals for whom the grant will directly pay salaries. The hours and costs are <i>for the full life of the grant</i>. <i>If an individual is employed by a contractor or sub-grantee, their labor costs should not be shown here.</i></p> <p>Please include all labor costs which are associated with the proposed grant program, <i>including those costs which will be paid for with in-kind or matching funds.</i></p> <p><i>Do not show fringe or other indirect costs in this section.</i></p> <p>Please use the hourly labor cost for salaried employees (use 2080 hours per year or the value your organization uses to perform this calculation). An <i>employee working less than full time</i> on the grant should <i>show the numbers of hours they will work on the grant.</i></p>
2 - Fringe Benefits	<p>Use the standard fringe rates used by your organization. You may use a single fringe rate (a percentage of the total direct labor) or list each of the individual fringe charges. The spreadsheet is set up to use the Total Direct Labor Cost as the base for the fringe calculation. If your organization calculates fringe benefits differently, please use a different base and discuss how you calculate fringe as a comment.</p>
3 - Travel	
3a - Transportation - Local Private Vehicle	<p>If you plan on reimbursing staff for the use of privately owned vehicles or if you are required to reimburse your organization for mileage charges, show your mileage and cost estimates in this section.</p>
3b - Transportation - Airfare	<p>Show the estimated cost of airfare required to support the grant program effort. Show the destination and the purpose of the travel as well as the estimated cost of the tickets.</p> <p>Each lead program NOFA discusses the travel requirements which should be listed here.</p>

3c - Transportation - Other	<p>If you propose to rent/lease, or are charged monthly by your organization for a vehicle for use by the grant program, indicate those costs in this section.</p> <p>Provide estimates for other transportation costs which may be incurred (metro, etc.).</p>
3d - Per Diem or Subsistence	<p>For travel which will require the payment of subsistence or per diem in accordance with your organization's policies. Indicate the location of the travel.</p> <p>Each lead program NOFA discusses the travel requirements which should be listed here.</p>
4 - Equipment	<p>Equipment is defined by HUD regulations as tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.</p> <p>Each lead program NOFA describes what equipment may be purchased using grant funding.</p>
5 - Supplies and Materials	<p>Supplies and materials are consumable and non-consumable items which have a unit value of less than \$5,000. Please list the proposed supplies and materials as either Consumable Supplies or as Non-Consumable Materials.</p>
5a - Consumable Supplies	<p>List the consumable supplies you propose to purchase. General office or other common supplies may be estimated using an anticipated consumption rate.</p>
5b - Non-consumable materials	<p>List furniture, computers, printers, and other items which will not be consumed in use. Please list the quantity and unit cost.</p>
6 - Consultants	<p>Please indicate the consultants you will use. Indicate the type of consultant (skills), the number of days you expect to use them, and their daily rate.</p>
7 - Contracts and Sub-Grantees	<p>List the contractors and sub-grantees which will help accomplish the grant effort. Other contracts which should be shown here include inspections, risk assessments, and clearance inspections; contracts with Community Based Organizations; liability insurance; contracts with laboratories; and training and certification for contractors and workers.</p> <p><i>If any contractor, sub-contractor, or sub-grantee is to receive over 10% of the total Federal amount requested, a separate Budget Summary worksheet should be developed for that contractor or sub-grantee and the total amount of their effort should be shown as a single entry in this section.</i></p> <p>Unless your proposed program will conduct the primary grant effort (lead hazard control, research, or healthy homes) with in-house employees (reflected in section 1), the costs of the primary grant effort (<i>e.g. interventions</i>) should be shown in this section.</p>

	<p>Types of activities which should be shown in this section:</p> <ul style="list-style-type: none"> <li>• Contracts for all services</li> <li>• Training for individuals not on staff</li> <li>• Contracts with Community Based Organizations or Other Governmental Organizations (<i>note the 10% requirement discussed above</i>)</li> <li>• Insurance if your program will procure it separately</li> </ul> <p>Please provide a short description of the activity the contractor or subgrantee will perform, if not evident.</p>
8 - Other Direct Costs	<p>Other Direct Costs include a number of items that are not appropriate for other sections.</p> <p>Other Direct Costs may include:</p> <ul style="list-style-type: none"> <li>• Staff training</li> <li>• Telecommunications</li> <li>• Printing and postage</li> <li>• Relocation, if costs are paid directly by your organization (if relocation costs are paid by a subgrantee, it should be reflected in Section 7)</li> </ul>
9 - Indirect Costs	<p>OMB Circular A87 defines indirect costs are those that have been incurred for common or joint purposes. These costs benefit more than one cost objective and cannot be readily identified with a particular final cost objective without effort disproportionate to the results achieved. Indirect costs include (a) the indirect costs originating in each department or agency of the governmental unit carrying out Federal awards and (b) the costs of central governmental services distributed through the central service cost allocation plan and not otherwise treated as direct costs.</p> <p>The spreadsheet is set up to use the Total Direct Labor plus the Fringe Benefits costs as the base for the indirect cost calculation. If your organization calculates indirect costs differently, please use a different base and discuss how you calculate fringe as a comment.</p>

The three rightmost columns allow you to identify how the costs will be spread between the Federal Share and the Match. This information will help the reviewers better understand your program and priorities. The far right column is an "error checking" function to confirm that the estimated cost is equal to the sum of the Federal Share and the Match. If there is a discrepancy, the word "Error" will appear.

*Note:* The formats and many of the cells for the spreadsheet (which can be downloaded from the HUD Office of Lead Hazard Control website at [www.hud.gov/lea/fedshare.xls](http://www.hud.gov/lea/fedshare.xls)) are protected. There is no password for the protection.

# **Fiscal Year 2000 FORMS**

**Available at <http://www.hud.gov/lea> for  
downloading.**

# Common Forms

The following forms are provided in this section

SF-LLL	Disclosure of Lobbying Activities *
SF 424	Application for Federal Assistance *
SF-424A	Budget Information - Non Construction Programs * † complete only page 1 of the SF-424A
SF-424B	Assurances - Non-Construction Programs *
HUD-2880	Applicant/Recipient Disclosure/Update Report *
HUD-2990	Certification of Consistency with the EZ/EC Strategic Plan *
HUD-2991	Certification of Consistency with the Consolidated Plan *
HUD-2992	Certification Regarding Debarment and Suspension *
HUD-2993	Acknowledgment of Application Receipt *
HUD-50070	Certification for a Drug-Free Workplace *
HUD-50071	Certification of Payments to Influence Federal Transactions *
	Total Budget (Federal Share and Matching) †

\* These forms are also available as fillable Adobe Reader (PDF) or Word (DOC) formats from the HUDClips website at [www.hudclips.org](http://www.hudclips.org) (available from the HUD homepage at [www.hud.gov](http://www.hud.gov))

† These forms are also available as Excel (XLS) spreadsheet from the HUD Office of Lead Hazard Control website at [www.hud.gov/lead/leadforms.html](http://www.hud.gov/lead/leadforms.html)



Approved by OMB 0348-0046

<b>1. Type of Federal Action</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		<b>2. Status of Federal Action</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		<b>3. Report Type</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only</b> year (yyyy) _____ quarter _____ date of last report (mm/dd/yyyy) _____	
<b>4. Name and Address of Reporting Entity</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:   <b>Congressional District</b> , if known			<b>5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime</b>   <b>Congressional District</b> , if known		
<b>6. Federal Department/Agency</b>			<b>7. Federal Program Name/Description</b>   <b>CFDA Number</b> , if applicable _____		
<b>8. Federal Action Number</b> , if known			<b>9. Award Amount</b> , if known \$ _____		
<b>10a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI)			<b>b. Individuals Performing Services</b> (including address if different from No. 10a.) (last name, first name, MI)		
(attach continuation sheet(s) if necessary)					
<b>11. Amount of Payment</b> (check all that apply) \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned			<b>13. Type of Payment</b> (check all that apply) <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other (specify) _____		
<b>12. Form of Payment</b> (check all that apply) <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____					
<b>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11</b>   (attach continuation sheet(s) if necessary)					
<b>15. Continuation sheets attached</b> <input type="checkbox"/> Yes <input type="checkbox"/> No					
<b>16. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>			Signature _____ Print Name _____ Title _____ Telephone No. _____ Date (mm/dd/yyyy) _____		
<b>Federal Use Only:</b>			<b>Authorized for Local Reproduction</b> <b>Standard Form-LLL (7/97)</b>		

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## Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient, Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box (es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box (es). Check all boxes that apply. If other, specify nature.
14. Provide specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just the time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a continuation sheet(s) are attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.



# Application for Federal Assistance

OMB Approval No. 0348-0043

<b>1. Type of Submission</b> <b>Application</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <b>Pre-application</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. Date Submitted (mm/dd/yyyy)	Applicant Identifier
		3. Date Received by State (mm/dd/yyyy)	State Application Identifier
		4. Date Received by Federal Agency (mm/dd/yyyy)	Federal Identifier
<b>5. Applicant Information</b>			
Legal Name		Organizational Unit	
Address (give city, county, State, and zip code)		Name and telephone number of the person to be contacted on matters involving this application (give area code)	
<b>6. Employer Identification Number (EIN) (xx-yyyymm)</b> <div style="border: 1px solid black; width: 100px; height: 20px; display: inline-block;"></div> — <div style="border: 1px solid black; width: 150px; height: 20px; display: inline-block;"></div>		<b>7. Type of Applicant</b> (enter appropriate letter in box) <div style="border: 1px solid black; width: 30px; height: 20px; display: inline-block;"></div> A. State B. County C. Municipal D. Township E. Interstate F. Inter-municipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Nonprofit O. Public Housing Agency P. Other (Specify)	
<b>8. Type of Application:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision  If Revision, enter appropriate letter(s) in box(es): <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify)		<b>9. Name of Federal Agency</b>	
<b>10. Catalog of Federal Domestic Assistance Number (xx-yyy)</b> <div style="border: 1px solid black; width: 100px; height: 20px; display: inline-block;"></div> — <div style="border: 1px solid black; width: 80px; height: 20px; display: inline-block;"></div> Title:		<b>11. Descriptive Title of Applicant's Project</b>	
<b>12. Areas Affected by Project</b> (cities, counties, States, etc.)			
<b>13. Proposed Project</b>		<b>14. Congressional Districts of</b>	
Start Date (mm/dd/yyyy)	Ending Date (mm/dd/yyyy)	a. Applicant	b. Project
<b>15. Estimated Funding</b>		<b>16. Is Application Subject to Review by State Executive Order 12372 Process?</b>	
a. Federal	\$ .00	a. <b>Yes</b> This pre-application/application was made available to the State Executive Order 12372 Process for review on:  Date (mm/dd/yyyy) _____	
b. Applicant	\$ .00	b. <b>No</b> <input type="checkbox"/> Program is not covered by E.O. 12372	
c. State	\$ .00	<b>or</b> <input type="checkbox"/> Program has not been selected by State for review.	
d. Local	\$ .00		
e. Other	\$ .00		
f. Program Income	\$ .00	<b>17. Is the Applicant Delinquent on Any Federal Debt?</b> <input type="checkbox"/> Yes    If "Yes," attach an explanation <input type="checkbox"/> No	
g. <b>Total</b>	\$ .00		
<b>18. To the best of my knowledge and belief, all data in this application/pre-application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.</b>			
a. Typed Name of Authorized Representative		b. Title	c. Telephone Number (Include Area Code)
d. Signature of Authorized Representative		e. Date Signed (mm/dd/yyyy)	

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## Instructions for the SF-424

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Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043, Washington, DC 20503).

**Please do not return your completed form to the Office of Management and Budget.  
Send it to the address provided by the sponsoring agency .**

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This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item	Entry	Item	Entry
1.	Self-explanatory.	12.	List only the largest political entities affected (e.g., State, counties, cities).
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	13.	Self-explanatory.
3.	State use only (if applicable).	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
7.	Enter the appropriate letter in the space provided.	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: <ul style="list-style-type: none"><li>– "New" means a new assistance award.</li><li>– "Continuation" means an extension for an additional funding budget period for a project with a projected completion date.</li><li>– "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.</li></ul>		
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For pre-applications, use a separate sheet to provide a summary description of this project.		

# Budget Information — Non-Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$

  

Section B - Budget Categories					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. Totals (sum of 6i and 6j)					
7. Program Income	\$	\$	\$	\$	\$

Section C - Non-Federal Resources				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) Totals
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. <b>Total</b> (sum of lines 8 - 11)	\$	\$	\$	\$

Section D - Forcasted Cash Needs					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. <b>Total</b> (sum of lines 13 and 14)	\$	\$	\$	\$	\$

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project				
(a) Grant Program	Future Funding Periods (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. <b>Total</b> (sum of lines 16-19)	\$	\$	\$	\$

Section F - Other Budget Information	
21. Direct Charges	22. Indirect Charges
23. Remarks	

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## Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

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### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program **requiring** budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in **Column** (a) and the respective catalog number on each line in Column (b).

For applications pertaining to **multiple** programs where one or more programs **require** a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

### Lines 1-4, Columns (c) through (g)

**For new applications**, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

**For continuing grant program applications**, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

**For supplemental grants and changes** to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5**—Show the totals for all columns used.

### Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-i**—Show the totals of Lines 6a to 6h in each column.

**Line 6j**—Show the amount of indirect cost.

**Line 6k**—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7**—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

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## Section C. Non-Federal Resources

**Lines 8-11**—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)**—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)**—Enter the contribution to be made by the applicant.

**Column (c)**—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)**—Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)**—Enter totals of Columns (b), (c), and (d).

**Line 12**—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

## Section D. Forecasted Cash Needs

**Line 13**—Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14**—Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15**—Enter the totals of amounts on Lines 13 and 14.

## Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16-19**—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20**—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

## Section F. Other Budget Information

**Line 21**—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

**Line 22**—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23**—Provide any other explanations or comments deemed necessary.

# Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.O. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36701 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of

project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the national Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted



# Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing  
and Urban Development

OMB Approval No. 2510-0011 (exp. 1/31/99)

**Instructions** (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 2.)

## Applicant/Recipient Information

Indicate whether this is an Initial Report ☐ or an Update Report ☐

1. Applicant/Recipient Name, Address, and Phone (include area code):

( ) -

2. Social Security Number or  
Employer ID Number:

- -

3. HUD Program Name

4. Amount of HUD Assistance  
Requested/Received

5. State the name and location (street address, City and State) of the project or activity:

## Part I Threshold Determinations

1. Are you applying for assistance for a specific project or activity? These terms do not include formula grants, such as public housing operating subsidy or CDBG block grants. (For further information see 24 CFR Sec. 4.3).

☐ Yes ☐ No

2. Have you received or do you expect to receive assistance within the jurisdiction of the Department (HUD), involving the project or activity in this application, in excess of \$200,000 during this fiscal year (Oct. 1 - Sep. 30)? For further information, see 24 CFR Sec. 4.9

☐ Yes ☐ No.

If you answered "**No**" to either question 1 or 2, **Stop!** You do not need to complete the remainder of this form. **However**, you must sign the certification at the end of the report.

## Part II Other Government Assistance Provided or Requested / Expected Sources and Use of Funds.

Such assistance includes, but is not limited to, any grant, loan, subsidy, guarantee, insurance, payment, credit, or tax benefit.

Department/State/Local Agency Name and Address	Type of Assistance	Amount Requested/Provided	Expected Uses of the Funds

(Note: Use Additional pages if necessary.)

## Part III Interested Parties.

You must disclose:

- All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
- any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Alphabetical list of all persons with a reportable financial interest in the project or activity (For individuals, give the last name first)	Social Security No. or Employee ID No.	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)

(Note: Use Additional pages if necessary.)

## Certification

**Warning** If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosures of information, including intentional non-disclosure, is subject to civil money penalty not to exceed \$10,000 for each violation.

I certify that this information is true and complete.

Signature:

Date: (mm/dd/yyyy)

X

**Public reporting burden** for this collection of information is estimated to average 2.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

**Privacy Act Statement** Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §4.38.

**Note:** This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

## Instructions

### Overview.

**A. Coverage.** You must complete this report if:

- (1) You are applying for assistance from HUD for a specific project or activity **and** you have received, or expect to receive, assistance from HUD in excess of \$200,000 during the fiscal year;
- (2) You are updating a prior report as discussed below; or
- (3) You are submitting an application for assistance to an entity other than HUD, a State or local government if the application is required by statute or regulation to be submitted to HUD for approval or for any other purpose.

**B. Update reports (filed by "Recipients" of HUD Assistance): General**

All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

### Line-by-Line Instructions.

#### Applicant/Recipient Information.

All applicants for HUD competitive assistance, must complete the information required in blocks 1-5 of form HUD-2880:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered.
2. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.
3. Applicants enter the HUD program name under which the assistance is being requested.
4. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. NOTE: In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.
5. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.

#### Part I. Threshold Determinations - Applicants Only

Part I contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

If the answer to **either** questions 1 or 2 is No, the applicant need not complete Parts II and III of the report, but must sign the certification at the end of the form.

#### Part II. Other Government Assistance and Expected Sources and Uses of Funds.

**A. Other Government Assistance.** This Part is to be completed by both applicants and recipients for assistance and recipients filing update reports. Applicants and recipients must report any other government assistance involved in the project or activity for which assistance is sought. Applicants and recipients must report any other government assistance involved in the project or activity. Other government assistance is defined in note 4 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available.
2. State the type of other government assistance (e.g., loan, grant, loan insurance).
3. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).
4. Uses of funds. Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as "total structure" to include a number of structural costs, such as roof, elevators, exterior masonry, etc.

**B. Non-Government Assistance.** Note that the applicant and recipient disclosure report must specify all expected sources and uses of funds - both from HUD **and any other source** that have been or are to be, made available for the project or activity. Non-government sources of funds typically include (but are not limited to) foundations and private contributors.

### Part III. Interested Parties.

This Part is to be completed by both applicants and recipients filing update reports. Applicants must provide information on:

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

**Note:** A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses. If the person is an entity, the listing must include the full name and address of the entity as well as the CEO. Please list all names alphabetically.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

**Note** that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to

incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

#### Notes:

1. All citations are to 24 CFR Part 4, which was published in the Federal Register. [April 1, 1996, at 63 Fed. Reg. 14448.]
2. Assistance means any contract grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Fed. Acquisition Regulation (FAR) (48 CFR Chapter 1).
3. See 24 CFR §4.9 for detailed guidance on how the threshold is calculated.
4. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
5. For the purpose of this form and 24 CFR Part 4, "person" means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

# Certification of Consistency with the EZ/EC Strategic Plan

U.S. Department of Housing  
and Urban Development

I certify that the proposed activities/projects in this application are consistent with the Strategic Plan of a Federally-designated Empowerment Zone (EZ), Enterprise Community (EC), or Urban Enhanced Enterprise Community.

(Type or clearly print the following information:)

Applicant Name: \_\_\_\_\_

Name of the Federal  
Program to which the  
applicant is applying: \_\_\_\_\_

Name of EZ/EC: \_\_\_\_\_

I further certify that the proposed activities/projects will be located within the EZ/EC and serves EZ/EC residents. (2 points)

Name of the  
Official Authorized  
to Certify the EZ/EC: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

# Certification of Consistency with the Consolidated Plan

U.S. Department of Housing  
and Urban Development

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Consolidated Plan.  
(Type or clearly print the following information:)

Applicant Name: \_\_\_\_\_

Project Name: \_\_\_\_\_

Location of the Project: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Name of the Federal  
Program to which the  
applicant is applying: \_\_\_\_\_

Name of  
Certifying Jurisdiction: \_\_\_\_\_

Certifying Official  
of the Jurisdiction  
Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

# Certification Regarding Debarment and Suspension

## U.S. Department of Housing and Urban Development

### Certification A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief that its principals;

a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal debarment or agency;

b. Have not within a three-year period preceding this proposal, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;

c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

#### Instructions for Certification (A)

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of these regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines this eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph (6) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

**Certification B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions**

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**Instructions for Certification (B)**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of these regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph (5) of these instructions, if a participant in a lower covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment.

Applicant		Date
Signature of Authorized Certifying Official	Title	

# Acknowledgment of Application Receipt

U.S. Department of Housing  
and Urban Development

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Type or clearly print the Applicant's name and full address in the space below.

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(fold line)

Type or clearly print the following information:

Name of the Federal  
Program to which the  
applicant is applying: \_\_\_\_\_

---

## To Be Completed by HUD

☐

HUD received your application by the deadline and will consider it for funding. In accordance with Section 103 of the Department of Housing and Urban Development Reform Act of 1989, no information will be released by HUD regarding the relative standing of any applicant until funding announcements are made. However, you may be contacted by HUD after initial screening to permit you to correct certain application deficiencies.

☐

HUD did not receive your application by the deadline; therefore, your application will not receive further consideration. Your application is:

☐

Enclosed

☐

Being sent under separate cover

Processor's Name \_\_\_\_\_

Date of Receipt \_\_\_\_\_



# Certification for a Drug-Free Workplace

U.S. Department of Housing  
and Urban Development

Applicant Name

Program/Activity Receiving Federal Grant Funding

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

**2. Sites for Work Performance.** The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here ☐ if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.

(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Title

Signature

Date

X

Certification of Payments
to Influence Federal Transactions

U.S. Department of Housing
and Urban Development
Office of Public and Indian Housing

Applicant Name

Program/Activity Receiving Federal Grant Funding

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.
This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.
Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Form with fields for Name of Authorized Official, Title, Signature, and Date. The Signature field contains an 'X' mark.

# **You are our Client!**

## **Your comments and suggestions, please!**

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In the spirit of reinventing government, as outlined in Vice-President Al Gore's National Performance Review, much attention has been given to streamlining and simplifying the application process. While working within the statutes governing the application and selection process, we have, in preparing this Notice of Funding Availability (NOFA) and application form, tried to produce a more user-friendly, customer driven document. Please let us have your comments and suggestions. You may leave this form attached to your application, or feel free to detach the form and return to us.

**Please Provide Comments on HUD's Efforts:**

**The NOFA** (please check one):

- (a) ☐ is clear and easily understandable
- (b) ☐ better than before, but still needs improvement (please specify)

(c) other (please specify)

**The application form** (please check one):

- (a) ☐ is acceptable given the volume of information required by statute and the volume of information required for accountability in selecting and funding projects.
- (b) ☐ is simpler and more user-friendly than before, but still needs work (please specify).

(c) other comments (please specify)

**Name & Organization** (Optional):

Are additional pages attached? ☐ Yes ☐ No

Budget Summary

# Total Budget (Federal Share and Matching)

Name and Address of Applicant

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Detailed Description of Budget (for full grant period)

Category

1. Personnel (Direct Labor)	Estimated Hours	Rate per Hour	Estimated Cost	Federal Share	Match
Position or Individual					
Total Direct Labor Cost					
2. Fringe Benefits	Rate	Base	Estimated Cost	Federal Share	Match
Total Fringe Benefits Cost					
3. Travel					
3a. Transportation - Local Private Vehicle	Mileage	Rate per Mile	Estimated Cost	Federal Share	Match
Subtotal - Trans - Local Private Vehicle					
3b. Transportation - Airfare (show destination)	Trips	Fare	Estimated Cost	Federal Share	Match
Subtotal - Transportation - Airfare					

## Budget Summary

## Total Budget (Federal Share and Matching)

## Detailed Description of Budget

3c. Transportation - Other	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Subtotal - Transportation - Other					
3d. Per Diem or Subsistence (indicate location)	Days	Rate per Day	Estimated Cost	Federal Share	Match
Subtotal - Per Diem or Subsistence					
Total Travel Cost					
4. Equipment (Only items over \$5,000 each)	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Total Equipment Cost					
5. Supplies and Materials (Items under \$5,000)					
5a. Consumable Supplies	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Subtotal - Consumable Supplies					
5b. Non-Consumable Materials	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Subtotal - Non-Consumable Materials					
Total Supplies and Materials Cost					

**Budget Summary**

**Total Budget (Federal Share and Matching)**

Detailed Description of Budget					
<b>6. Consultants (Type)</b>	<b>Days</b>	<b>Rate per Day</b>	<b>Estimated Cost</b>	<b>Federal Share</b>	<b>Match</b>
<b>Total Consultants Cost</b>					
<b>7. Contracts and Sub-Grantees (List individually)</b>	<b>Quantity</b>	<b>Unit Cost</b>	<b>Estimated Cost</b>	<b>Federal Share</b>	<b>Match</b>
<b>Total Subcontracts Cost</b>					
<b>8. Other Direct Costs</b>	<b>Quantity</b>	<b>Unit Cost</b>	<b>Estimated Cost</b>	<b>Federal Share</b>	<b>Match</b>
<b>Item</b>					
<b>Total Other Direct Costs</b>					
<b>9. Indirect</b>	<b>Rate</b>	<b>Base</b>	<b>Estimated Cost</b>	<b>Federal Share</b>	<b>Match</b>
<b>Type</b>					
<b>Total Indirect Costs</b>					
<b>Total Estimated Costs</b>					
<b>Total of Federal Share and Match</b>					

<b>Analysis of Total Estimated Costs</b>	<b>Estimated Cost</b>	<b>Percent of Total</b>	<b>Percent of Labor</b>
<b>1 Personnel (Direct Labor)</b>			
<b>2 Fringe Benefits</b>			
<b>3 Travel</b>			
<b>4 Equipment</b>			
<b>5 Supplies and Materials</b>			
<b>6 Consultants</b>			
<b>7 Contracts and Sub-Grantees</b>			
<b>8 Other Direct Costs</b>			
<b>9 Indirect Costs</b>			
<b>Total</b>			

**Federal Share  
Match**

**Expressed as a percentage of the Federal Share**

Some cells in this spreadsheet are protected. There is no password for this spreadsheet.

## Instructions for Completing the Budget Summary Spreadsheet

Note: an electronic version of this spreadsheet may be obtained from the  
HUD Office of Lead Hazard Control website at [www.hud.gov/lealeaforms.html](http://www.hud.gov/lealeaforms.html)

Item	Discussion
1 - Personnel (Direct Labor)	<p>This section should show the labor costs for all individuals supporting the grant effort (regardless of the source of their salaries). The hours and costs are for the full life of the grant. If an individual is employed by a contractor or sub-grantee, their labor costs should not be shown here.</p> <p>Please include all labor costs which are associated with the proposed grant program, including those costs which will be paid for with in-kind or matching funds.</p> <p>Do not show fringe or other indirect costs in this section.</p> <p>Please use the hourly labor cost for salaried employees (use 2080 hours per year or the value your organization uses to perform this calculation). An employee working less than full time on the grant should show the numbers of hours they will work on the grant.</p>
2 - Fringe Benefits	<p>Use the standard fringe rates used by your organization. You may use a single fringe rate (a percentage of the total direct labor) or list each of the individual fringe charges. The spreadsheet is set up to use the Total Direct Labor Cost as the base for the fringe calculation. If your organization calculates fringe benefits differently, please use a different base and discuss how you calculate fringe as a comment.</p>
3 - Travel	
3a - Transportation - Local Private Vehicle	<p>If you plan on reimbursing staff for the use of privately owned vehicles or if you are required to reimburse your organization for mileage charges, show your mileage and cost estimates in this section.</p>
3b - Transportation - Airfare	<p>Show the estimated cost of airfare required to support the grant program effort. Show the destination and the purpose of the travel as well as the estimated cost of the tickets.</p> <p>Each lead program NOFA discusses the travel requirements which should be listed here.</p>
3c - Transportation - Other	<p>If you or are charged monthly by your organization for a vehicle for use by the grant program, indicate those costs in this section.</p> <p>Provide estimates for other transportation costs which may be incurred (metro, etc.).</p>



3d - Per Diem or Subsistence	<p>For travel which will require the payment of subsistence or per diem in accordance with your organization's policies. Indicate the location of the travel.</p> <p>Each lead program NOFA discusses the travel requirements which should be listed here.</p>
4 - Equipment	<p>Equipment is defined by HUD regulations as tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.</p> <p>Each lead program NOFA describes what equipment may be purchased using grant funding.</p>
5 - Supplies and Materials	<p>Supplies and materials are consumable and non-consumable items which have a unit value of less than \$5,000. Please list the proposed supplies and materials as either Consumable Supplies or as Non-Consumable Materials.</p>
5a - Consumable Supplies	<p>List the consumable supplies you propose to purchase. General office or other common supplies may be estimated using an anticipated consumption rate.</p>
5b - Non-consumable materials	<p>List furniture, computers, printers, and other items which will not be consumed in use. Please list the quantity and unit cost.</p>
6 - Consultants	<p>Please indicate the consultants you will use. Indicate the type of consultant (skills), the number of days you expect to use them, and their daily rate.</p>
7 - Contracts and Sub-Grantees	<p>List the contractors and sub-grantees which will help accomplish the grant effort. Other contracts which should be shown here include inspections, risk assessments, and clearance inspections; contracts with Community Based Organizations; liability insurance; contracts with laboratories; and training and certification for contractors and workers.</p> <p>If any contractor, sub-contractor, or sub-grantee is expected to receive over 10% of the total Federal amount requested, a separate Budget Summary spreadsheet should be developed for that contractor or sub-grantee and the total amount of their proposed effort should be shown as a single entry in this section.</p> <p>Unless your proposed program will perform the primary grant effort (lead hazard control, research, or healthy homes) with in-house employees (which should be listed in section 1), the costs of performing the primary grant activities (research, hazard control, etc.) should be shown in this section.</p> <p>Types of activities which should be shown in this section:</p> <ul style="list-style-type: none"> <li>• Contracts for all services</li> <li>• Training for individuals not on staff</li> <li>• Contracts with Community Based Organizations or Other Governmental Organizations (note the 10% requirement</li> </ul>

	<p>discussed above)</p> <ul style="list-style-type: none"> <li>Insurance if your program will procure it separately</li> </ul> <p>Please provide a short description of the activity the contractor or subgrantee will perform, if not evident.</p>
8 - Other Direct Costs	<p>Other Direct Costs include a number of items that are not appropriate for other sections.</p> <p>Other Direct Costs may include:</p> <ul style="list-style-type: none"> <li>Staff training</li> <li>Telecommunications</li> <li>Printing and postage</li> <li>Relocation, if costs are paid directly by your organization (if relocation costs are paid by a subgrantee, it should be reflected in Section 7)</li> </ul>
9 - Indirect Costs	<p>OMB Circular A87 defines indirect costs are those that have been incurred for common or joint purposes. These costs benefit more than one cost objective and cannot be readily identified with a particular final cost objective without effort disproportionate to the results achieved. Indirect costs include (a) the indirect costs originating in each department or agency of the governmental unit carrying out Federal awards and (b) the costs of central governmental services distributed through the central service cost allocation plan and not otherwise treated as direct costs.</p> <p>The spreadsheet is set up to use the Total Direct Labor plus the Fringe Benefits costs as the base for the indirect cost calculation. If your organization calculates indirect costs differently, please use a different base and discuss how you calculate fringe as a comment.</p>

The three rightmost columns allow you to identify how the costs will be spread between the Federal Share and the Match. This information will help the reviewers better understand your program and priorities. The far right column is an “error checking” function to confirm that the estimated cost is equal to the sum of the Federal Share and the Match. If there is a discrepancy, the word “Error” will appear.

Note: The formats and many of the cells for the spreadsheet (which can be downloaded from the HUD Office of Lead Hazard Control website at [www.hud.gov/leadshare.xls](http://www.hud.gov/leadshare.xls)) are protected. There is no password for the protection.